

RECORDS RETENTION AND DISPOSITION SCHEDULE

LOCAL HEALTH DEPARTMENTS



Issued By:



North Carolina Department of Natural and Cultural Resources
Division of Archives and Records
Government Records Section

March 1, 2019

CONTENTS

Approval	ii
Front Matter	
Executive Summary	iii
Managing Public Records in North Carolina	v
Audits, Litigation, and Other Official Actions	viii
Transitory Records	ix
Using the Local Health Departments Schedule	xi
Records Retention and Disposition Schedule	
Standard 10: Program Operational Records - Adult Health Records	1
Standard 11: Program Operational Records - All Health Department Programs	4
Standard 12: Program Operational Records - Animal Control Programs	10
Standard 13: Program Operational Records - Business Office and Patients' Financial Records	13
Standard 14: Program Operational Records - Communicable Disease Control Records	17
Standard 15: Program Operational Records - Environmental Health Records	19
Standard 16: Program Operational Records - Health Education Records	24
Standard 17: Program Operational Records - Home Health and Community-Based Services Records	26
Standard 18: Program Operational Records - Laboratory Records	28
Standard 19: Program Operational Records - Maternal and Child Health Records	32
Standard 20: Program Operational Records - Patient Clinical Records	35
Standard 21: Program Operational Records - Pharmacy Records	39
Standard 22: Program Operational Records - Radiology Records	44
Standard 23: Program Operational Records - School Health Records	48
Standard 24: Program Operational Records - Vital Records	51
Standard 25: Program Operational Records - Women, Infants, and Children (WIC) Records	55
Appendix	
Destruction of Public Records	57
Sample Destructions Log	58
Electronic Records: E-mail, Electronic Health Records, and Digital Imaging	59
Microfilm	61
Disaster Assistance	63
Staff Training	64
Request Forms	
Request for Change in Records Schedule	65
Request for Disposal of Unscheduled Records	66
Request for Disposal of Original Records Duplicated by Electronic Means	67
Sample File Plan	68
Index	69

Local Health Departments Records Retention and Disposition Schedule

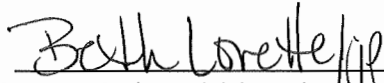
The records retention and disposition schedule and retention periods governing the records series listed herein are hereby approved. This agency-specific records schedule should be used in concert with the current Local Government Agencies General Records Retention and Disposition Schedule to provide full records management guidance. In accordance with the provisions of Chapters 121 and 132 of the *General Statutes of North Carolina*, it is agreed that the records do not and will not have further use or value for official business, research, or reference purposes after the respective retention periods specified herein and are authorized to be destroyed or otherwise disposed of by the agency or official having custody of them without further reference to or approval of either party to this agreement. The local government agency agrees to comply with 07 NCAC 04M .0510 when deciding on a method of destruction. Confidential records will be destroyed in such a manner that the records cannot be practicably read or reconstructed. However, records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of this schedule. ***Public records, including electronic records, not listed in this schedule are not authorized to be destroyed.***

This local government agency and the Department of Natural and Cultural Resources agree that certain records series possess only brief administrative, fiscal, legal, research, and reference value. These records series have been designated by retention periods that allow these records to be destroyed when *"reference value ends."* The local government agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that the Department of Natural and Cultural Resources has scheduled with the disposition instruction *"destroy when reference value ends."* If a local government agency does not establish internal policies and retention periods, the local government agency is not complying with the provisions of this retention schedule and is not authorized by the Department of Natural and Cultural Resources to destroy the records with the disposition instruction *"destroy when reference value ends."*

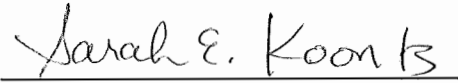
The local government agency and the Department of Natural and Cultural Resources concur that the long-term and/or permanent preservation of electronic records requires additional commitment and active management by the agency. The agency agrees to comply with all policies, standards, and best practices published by the Department of Natural and Cultural Resources regarding the creation and management of electronic records.

It is further agreed that these records may not be destroyed prior to the time periods stated; however, for sufficient reason they may be retained for longer periods. This schedule is to remain in effect from the date of approval until it is reviewed and updated.

APPROVAL RECOMMENDED

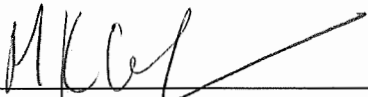


Beth Lovette, Division Director (Acting)
DHHS, Division of Public Health

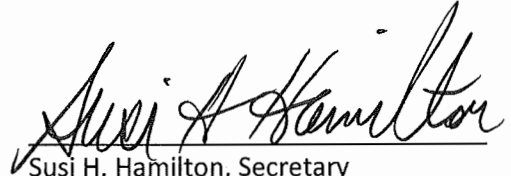


Sarah E. Koonts, Director
Division of Archives and Records

APPROVED



Mandy K. Cohen, MD, MPH, Secretary
Department of Health and Human Services



Susi H. Hamilton, Secretary
Department of Natural and Cultural
Resources

ACKNOWLEDGED (AGREED TO COMPLY)

Local Health Director

Chair, Local Board of Health or Board of
County Commissioners

County

March 1, 2019

EXECUTIVE SUMMARY

- ✓ According to G.S. § 121-5(b) and G.S. § 132-3, you may destroy public records only with the consent of the Department of Natural and Cultural Resources (DNCR). The State Archives of North Carolina is the division of DNCR charged with administering a records management program. This schedule is the primary way the State Archives of North Carolina gives its consent. Without approving this schedule, your agency is obligated to obtain the State Archives of North Carolina's permission to destroy *any* record, no matter how insignificant.
- ✓ Each records series listed on this schedule has specific disposition instructions that will indicate how long the series must be kept in your office. In some cases, the disposition instructions are simply "retain in office permanently," which means that those records must be kept in your office forever. In other cases, the retention period may be "destroy in office when reference value ends." An agency may have reference copies of materials, meaning "a copy of a record distributed to make recipients aware of the content but not directing the recipient to take any action on the matter" (from Richard Pearce-Moses, *A Glossary of Archival and Records Terminology*). Your agency must establish and enforce internal policies by setting minimum retention periods for the records that the State Archives of North Carolina has scheduled with the disposition instruction "destroy when reference value ends."
- ✓ This schedule applies to the records of county health departments, multi-county district health departments, and county public health authorities, and to the health records of county consolidated human services agencies.
- ✓ E-mail is a record as defined by G.S. § 121-5 and G.S. § 132. It is the content of the e-mail that is critical when determining the retention period of a particular e-mail, including attachments, not the media in which the record was created. It is important for all agency employees and officials to determine the appropriate records series for specific e-mails and retain them according to the disposition instructions.
- ✓ The State Archives of North Carolina recommends that all agency employees and officials view the tutorials that are available online through the State Archives website to familiarize themselves with records management principles and practices. The State Archives of North Carolina's online tutorials include topics such as records management, utilizing the retention schedule, e-mail management, and scanning guidelines.
- ✓ The State Archives of North Carolina provides microfilming services for the minutes of major decision-making boards and commissions. Once those records are filmed, we will store the silver halide negative (original) in our security vault. There is a nominal fee for filming and duplicating film. Contact the Records Management Analyst in charge of microfilm coordination for the most current information.
- ✓ There are numerous locations in the North Carolina General Statutes and the North Carolina Administrative Code that list responsibilities of local health departments along with written policies that should be developed and implemented. See, for example:

- G.S. 130A: Public Health
 - 10A NCAC 41: Epidemiology Health
 - 10A NCAC 46: Local Standards
 - 10A NCAC 48: Local Health Department Accreditation
 - 15A NCAC 18: Environmental Health
- ✓ Information about policies and procedures required by the Privacy Rule of the Health Insurance Portability and Accountability Act (HIPAA) can be found in 45 CFR Parts 160 and 164.

MANAGING PUBLIC RECORDS IN NORTH CAROLINA

Q. What is this “records retention and disposition schedule”?

- A.** This document is a tool for the employees of local government agencies across North Carolina to use when managing the records in their offices. It lists records commonly found in agency offices and gives an assessment of their value by indicating how long those records should be retained. This schedule is also an agreement between your agency and the State Archives of North Carolina.

This schedule serves as the inventory and schedule that the State Archives of North Carolina is directed by G.S. § 121-5(c) and G.S. § 132-8 to provide. It supersedes all previous editions, including all amendments.

Q. How do I get this schedule approved?

- A.** This schedule must be approved by your governing body for use in your agency. That approval should be made in a regular meeting and recorded as an action in the minutes. It may be done as part of the consent agenda, by resolution, or other action.
-

Q. Am I required to have all the records listed on this schedule?

- A.** No, this is not a list of records you must have in your office.
-

Q. What is “reference value”?

- A.** Items containing “reference value” in the disposition instructions are generally records that hold limited value, which is typically restricted to those documenting routine operations within the office. A minimum retention period should be established by the office for any items containing the phrase “destroy in office when reference value ends” in the disposition instructions.
-

Q. Do the standards correspond to the organizational structure of my agency?

- A.** Records series are grouped into standards to make it easier for users to locate records and their disposition instructions. You may find that the groupings reflect the organizational structure of your agency, or you may find that records are located in various standards depending on the content of the record. The intent of the schedule’s organization is to provide an easy reference guide for the records created in your agency.
-

Q. What if I cannot find some of my records on this schedule?

- A.** Sometimes the records are listed in a different standard than how you organize them in your office. Be sure to check the Index and utilize the search function on the PDF version of the schedule to facilitate the location of records series. If you still cannot locate your records on the schedule, contact a Records Management Analyst. We will work with you to amend this records schedule so that you may destroy records appropriately.
-

Q. What are public records?

- A.** The *General Statutes of North Carolina*, Chapter 132, provides this definition of public records:
- “Public record” or “public records” shall mean all documents, papers, letters, maps, books, photographs, films, sound recordings, magnetic or other tapes, electronic data-processing records, artifacts, or other documentary material, regardless of physical form or characteristics, made or received pursuant to law or ordinance in connection with the transaction of public business by any agency of North Carolina government or its subdivisions. Agency of North Carolina government or its subdivisions shall mean and include every public office, public officer or official (State or local, elected or appointed), institution, board, commission, bureau, council, department, authority or other unit of government of the State or of any county, unit, special district or other political subdivision of government.

Q. Is any person allowed to see my records?

A. Yes, except as restricted by specific provisions in state or federal law. G.S. § 132-6 instructs:

“Every custodian of public records shall permit any record in the custodian’s custody to be inspected and examined at reasonable times and under reasonable supervision by any person, and shall, as promptly as possible, furnish copies thereof upon payment of any fees as may be prescribed by law. ... No person requesting to inspect and examine public records, or to obtain copies thereof, shall be required to disclose the purpose or motive for the request.”

Q. What about my confidential records?

A. Not all government records are open to public inspection. Exceptions to the access requirements in G.S. § 132-6 and the definition of public records in G.S. § 132-1 are found throughout the General Statutes. You must be able to cite a specific provision in the General Statutes or federal law when you restrict or deny access to a particular record.

Q. Am I required to make available to the public copies of drafts that have not been approved?

A. Yes, even if a report, permit, or other record has not been finalized, it is still a public record subject to request. Any record that is not confidential by law must be provided when a request is received, whether it is “finished” or not.

Q. What do I do with permanent records?

A. Permanent records should be maintained in the office that created the records, forever.

The Department of Natural and Cultural Resources (DNCR) is charged by the General Assembly with the administration of a records management program (N.C.G.S. §121-4 (2) and §132-8.1) and the maintenance of “a program for the selection and preservation of public records considered **essential** to the operation of government and to the **protection of the rights and interests of persons**” (§132-8.2). Permanent records with these characteristics require preservation duplicates that are human-readable (paper or microfilm). Some examples of these characteristics include:

- Affect multiple people, without regard to relation
- Have significance over a long span of time
- Document governance
- Document citizenship

Examples of records with these characteristics:

- Minutes of governing bodies at the state and local levels are the basic evidence of our system of governance, and are routinely provided for the public to read.
 - Records, such as deeds and tax scrolls, about land document changes in ownership and condition. Counties maintain offices expressly for the purpose of making those records available to the public. Other records in local and state governments document potential public health hazards, such as hazardous materials spills.
 - Adoptions, marriages, and divorces document changes in familial relationships and document citizenship. Though adoptions are confidential (not available for public inspection), they document citizenship and changes in inheritance and familial succession.
 - Court records, such as wills, estates, and capital cases, affect people within and across family groups, are made available for public inspection, and often involve transactions related to the examples above.
- See the Human-Readable Preservation Duplicates policy issued by the North Carolina Department of Natural and Cultural Resources (<https://archives.ncdcr.gov/documents/human-readable-preservation-duplicates>) and check with a records analyst to determine whether your permanent records require a preservation duplicate.

Q. What is historical value?

- A.** Historical records document significant events, actions, decisions, conditions, relationships, and similar developments. These records have administrative, legal, fiscal, or evidential importance for the government or its citizens. Call a Records Management Analyst for further assistance in assessing historical value.

Q. What if I do not have any records?

- A.** Nearly every position in government generates, receives, or uses records. Computer files of any kind, including drafts and e-mail, are public records. Even if your records are not the official or final version, your records are public records. Not all records have high historical, legal, or fiscal value, but they all must be destroyed in accordance with the provisions of the appropriate records schedule.

Q. May I store our unused records in the basement, attic, shed, etc.?

- A.** Public records are public property. Though we encourage agencies to find places to store records that do not take up too much valuable office space, the selected space should be dry, secure, and free from pests and mold. Your office must ensure that records stored away from your main office area are well protected from natural and man-made problems while remaining readily available to your staff and the public.

Q. Our old records are stored in the attic, basement, or off-site building, etc. Are we required to provide public access to these records?

- A.** Yes, as long as the records are not confidential by law. You should also be aware that confidentiality can expire.

Q. Aren't all our old records at the State Archives of North Carolina?

- A.** Probably not. The State Archives of North Carolina collects only very specific types of records from local government offices. Contact a Records Management Analyst for more information about which records are held or can be transferred to the State Archives of North Carolina for permanent preservation.

Q. I found some really old records. What should I do with them?

- A.** Call a Records Management Analyst. We will help you examine the records and assess their historical value.

Q. Can I give my old records to the historical society or public library?

- A.** Before you offer any record to a historical society, public library, or any other entity, you must contact a Records Management Analyst. Permanent records must be kept either in your offices or at the State Archives of North Carolina.

Q. Whom can I call with questions?

- A.** If you are located west of Statesville, call our Western Office in Asheville at (828) 296-7230 extension 224. If you are east of Statesville, all the way to the coast, call our Raleigh office at (919) 814-6900.

AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION

Q. Why is there an asterisk in the disposition instructions of so many items on this schedule?

A. No record involved in a pending or ongoing audit, legal, or other official action may be destroyed before that audit or action is resolved.

A legal hold or litigation hold means that records that are the subject of the legal hold or litigation hold must be preserved and thus must not be destroyed until officially released from the hold. A legal hold or litigation hold is placed when either an official discovery order is served on the agency requesting the production of the records in question (for a litigation, regulatory investigation, audit, open records request, etc.) or litigation is pending and the agency is thus on notice to preserve all potentially relevant records. You must also ensure that for a claim or litigation that appears to be reasonably foreseeable or anticipated but not yet initiated, any records (in paper or electronic formats) relevant to such a claim or litigation are preserved and not destroyed until released by your General Counsel. The records in question must not be destroyed until the completion of the action and the resolution of all issues that arise from it regardless of the retention period set forth in this schedule.

We have used an asterisk (*) in the disposition instructions to mark records series that are commonly audited, litigated, or may be subject to other official actions. However, any record has this potential. Records custodians are responsible for being aware of potential actions, and for preventing the destruction of any record that is, or may be reasonably expected to become, involved in an audit, legal, or other official action.

Records used during routine audits may be destroyed when the governing body accepts the audit, if the records have completed the retention period listed in this schedule. If time remains in the retention period, the records must be maintained for the remainder of the period. The auditor's working papers must be kept according to the schedule. (See Local Government General Records Schedule, Standard 1, Audits: Performance and Standard 2, Audits: Financial.) Should a dispute arise over an audit, the records that were audited should be retained until that dispute is resolved.

The attorney representing the agency should inform records custodians when legal matters are concluded and records will no longer be needed. Following the conclusion of any legal action, the records may be destroyed if they have met the retention period in the schedule. Otherwise, they should be kept for the remaining time period.

TRANSITORY RECORDS

Transitory records are defined as “record[s] that [have] little or no documentary or evidential value and that need not be set aside for future use.”¹

According to North Carolina General Statutes § 121 and § 132, every document, paper, letter, map, book, photograph, film, sound recording, magnetic or other tape, electronic data processing record, artifact, or other documentary material, regardless of physical form or characteristics, made or received in connection with the transaction of public business by any state, county, municipal agency, or other political subdivision of government is considered a public record and may not be disposed of, erased, or destroyed without specific approval from the Department of Natural and Cultural Resources.

The Department of Natural and Cultural Resources recognizes that some records may have little or no long-term documentary or evidential value to the creating agency. These records are often called “transitory records.” The following questions and answers discuss types of transitory records commonly created in state government. They may be disposed of according to the guidance below. However, all public employees should be familiar with the General Schedule for State Agency Records, their office’s Program Records Retention and Disposition Schedule, and any other applicable guidelines for their office. If any of these documents require a different retention period for these records, follow the longer of the two retention periods. When in doubt about whether a record is transitory, or whether it has special significance or importance, retain the record in question and seek guidance from the analyst assigned to your agency.

Q. What do I do with routing slips, fax cover sheets, “while you were out” slips, memory aids, etc.?

- A.** Routing slips and transmittal sheets adding no information to that contained in the transmitted material have minimal value after the material has been successfully transmitted. These records may be destroyed or otherwise disposed of after receipt of the material has been confirmed.

Similarly, “while you were out” slips, memory aids, and other records requesting follow-up actions (including voicemails) have minimal value once the official action these records are supporting has been completed and documented. Unless they are listed on the General Schedule for State Agency Records or your office’s Program Records Retention and Disposition Schedule, these records may be destroyed or otherwise disposed of once the action has been resolved.

Q. What about research materials, drafts, and other working papers used to create a final, official record?

- A.** Drafts and working papers are materials, including notes and calculations, gathered or created to assist in the creation of another record. All drafts and working papers are public records subject to all provisions of General Statute § 132, but many of them have minimal value after the final version of the record has been approved, and may be destroyed after final approval, if they are no longer necessary to support the analysis or conclusions of the official record. Drafts and working documents which may be destroyed after final approval include:

- Drafts and working papers for internal and external policies
- Drafts and working papers for internal administrative reports, such as daily and monthly activity reports
- Drafts and working papers for internal, non-policy-level documents, such as informal workflows and manuals; and

¹ A Glossary of Archival and Records Terminology, Richard Pearce-Moses (2005)

- Drafts and working papers for presentations, workshops, and other explanations of agency policy that are already formally documented.

Q. What if I have forms designed and used solely to create, update, or modify records in an electronic medium?

- A.** If these records are not required for audit or legal purposes, they may be destroyed in office after completion of data entry and after all verification and quality control procedures. However, if the forms contain any analog components that are necessary to validate the information contained on them (e.g. a signature or notary's seal), they should be retained according to the disposition instructions for the records series encompassing the forms' function.

See also the State Archives of North Carolina's guidance on digital signatures found at:

<https://archives.ncdcr.gov/documents/digital-signature-policy-guidelines>

USING THE LOCAL HEALTH DEPARTMENTS RECORDS RETENTION SCHEDULE

This records retention and disposition schedule applies to records in all media, unless otherwise specified.

LEGEND



– symbol designating that one or more records in this series may be confidential or may include confidential information.

Item # – an identifying number assigned to each records series for ease of reference.

Series – “a group of similar records that are . . . related as the result of being created, received, or used in the same activity.” (From Richard Pearce-Moses, *A Glossary of Archival and Records Terminology*). Series in this schedule are based on common functions in government offices.

Records Series Title – a short identification of the records in a series, based on their common function.

Series Description – a longer description of the records in a series, often including the types of records that can frequently be found in that series. This information is included underneath the Records Series Title.

Disposition Instructions – instructions dictating the length of time a series must be retained and how the office should dispose of those records after that time.

Citation – a listing of references to statutes, laws, and codes related to the records series. Citations can include:

- Authority: governing the creation of records
- Confidentiality: limiting access to public records
- Retention: setting a retention period

Throughout this schedule, items that cross-reference other items within this schedule are indicated with bold, uppercase letters. If you hover your cursor over one of these items, you will see the hand tool that will enable you to click on the item to follow the link to that location.

AUDITS: PERFORMANCE
Records concerning internal and external audits conducted to assess the function of government programs. Includes reports, working papers, corrective measures, and other related records.

See also **AUDITS: FINANCIAL**, page 20, item 6.

Sample records series title and description with cross-reference included

NC DHHS RECORDS RETENTION SCHEDULE FOR GRANTS

Local health departments must retain all records of programs funded by federal sources until the NC DHHS Office of the Controller provides notification that the records may be destroyed. The NC DHHS Office of the Controller provides this notification with the North Carolina Department of Health and Human Services Records Retention and Disposition Schedule for Grants (DHHS Records Schedule for Grants), published on the DHHS Office of the Controller’s website at <https://www.ncdhhs.gov/about/administrative-offices/office-controller/records-retention>.

You must use this Local Health Departments Records Retention and Disposition Schedule in conjunction with the DHHS Records Schedule for Grants. You must retain all financial and programmatic records, supporting documents, statistical records, and other records pertinent to a federal award in accordance with the DHHS Records Schedule for Grants. This Local Health Departments Records Retention and Disposition Schedule includes the following disposition language for records series that require notification by the NC DHHS Office of the Controller prior to destruction of records:

Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.

The DHHS Records Schedule for Grants lists by funding source and state fiscal year the earliest date that records may be destroyed. You must know the federal funding sources that support the specific records in question. For each record, identify:

- The programs covered in the record;
- The records retention and disposition instructions;
- How those programs are funded; and
- If federally funded, whether the federal funding sources have been cleared for disposition by the DHHS Records Schedule for Grants.

When there is a discrepancy between this schedule and the DHHS Records Schedule for Grants, you must use the longer retention period.

No destruction of records may take place if litigation or audits are pending or reasonably anticipated. See also AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS, page viii.

STANDARD 10: PROGRAM OPERATIONAL RECORDS – ADULT HEALTH RECORDS

Public health records created or received in local health departments and used to manage and monitor adult health programs. Comply with applicable provisions of G.S. § 130A-12 and G.S. § 130A-45.8 regarding confidentiality of local health department records that contain privileged patient medical information, information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act, or HIPAA), or information collected for prevention and control of lead poisoning in children in accordance with G.S. § 130A, Article 5, Part 4.

ITEM #	STANDARD 10: ADULT HEALTH RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ADULT DAY CARE AND ADULT DAY HEALTH PROGRAM MONITORING RECORDS Monitoring reports and standard reviews written by public health nurses (PHNs) who monitor clients and employees for compliance with health-related standards in licensed Adult Day Health Centers.	a) Send original monitoring reports and standard reviews to county social services agency. b) Send copies of monitoring reports and standard reviews to NC DHHS, Division of Aging and Adult Services, Adult Day Care Consultant. c) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ d) Destroy in office remaining records after 5 years.*	Retention: NC DHHS, Division of Aging and Adult Services, Adult Day Health Services Certification Procedures Manual

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page viii.

† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.

¹ See **NC DHHS RECORDS SCHEDULE FOR GRANTS**, page xi; it is published semiannually by the DHHS Office of the Controller.

ITEM #	STANDARD 10: ADULT HEALTH RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
2.	ADULT HEALTH PROGRAM RECORDS Records documenting contacts between adult health services and individuals served by the local health department.	a) If individual receives clinical services transfer records to PATIENT CLINICAL RECORDS , page 36, item 5, as applicable. b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ c) Destroy in office remaining records after 5 years.*	
3.	BREAST AND CERVICAL CANCER CONTROL PROGRAM (BCCCP) AND NC WISEWOMAN RECORDS Records concerning breast and cervical cancer screenings, screening follow-ups, cardiovascular disease screenings, and life habit improvement assistance for prevention of cardiovascular and other chronic diseases for eligible women.	a) If individual receives clinical services transfer records to PATIENT CLINICAL RECORDS , page 36, item 5, as applicable. b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ c) Destroy in office remaining records after 6 years.*	

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page viii.

† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.

¹ See **NC DHHS RECORDS SCHEDULE FOR GRANTS**, page xi; it is published semiannually by the DHHS Office of the Controller.

ITEM #	STANDARD 10: ADULT HEALTH RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	CHRONIC DISEASE PROGRAM RECORDS Records concerning chronic disease early detection and referral, patient education, monitoring, treatment, and follow-up activities. May include program procedures, statistical summaries, chronic disease services reports, and other related records.	a) If individual receives clinical services transfer records to PATIENT CLINICAL RECORDS , page 36, item 5, as applicable. b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ c) Destroy in office remaining records after 5 years.*	
5.	FAMILY PLANNING RECORDS Records documenting contacts between family planning services and with individuals served by the local health department.	a) If individual receives clinical services transfer records to PATIENT CLINICAL RECORDS , page 36, item 5, as applicable. b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ c) Destroy in office remaining records after 5 years.*	

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page viii.

† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

¹ See **NC DHHS RECORDS SCHEDULE FOR GRANTS**, page xi; it is published semiannually by the DHHS Office of the Controller.

STANDARD 11: PROGRAM OPERATIONAL RECORDS – ALL HEALTH DEPARTMENT PROGRAMS

Public health records created or received in local health departments and used to manage and monitor federal, state, and local programs. Comply with applicable provisions of G.S. § 130A-12 and G.S. § 130A-45.8 regarding confidentiality of local health department records that contain privileged patient medical information, information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act, or HIPAA), or information collected for prevention and control of lead poisoning in children in accordance with G.S. § 130A, Article 5, Part 4.

ITEM #	STANDARD 11: ALL HEALTH DEPARTMENT PROGRAMS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	CLINICAL POLICIES AND PROCEDURES See also ELECTRONIC PROTECTED HEALTH INFORMATION (ePHI) SECURITY IMPLEMENTATION RECORDS , page 5, item 4.	Retain in office permanently.	
2.	CLINICAL RECORD AUDITS Internal and external audit summaries and findings. Includes associated supporting records. See also Local Government General Records Schedule, Standard 2, Audits: Financial.	a) Medicare/Medicaid audits: Destroy in office after 5 years and when all findings have been resolved.* b) All other audits: Destroy in office after 3 years and when all findings have been resolved.*	
3.	COMMUNITY HEALTH ASSESSMENTS Also includes interim State-of-the-County's Health (SOTCH) Reports.	a) Retain in office official copy of community health assessment permanently. b) Destroy in office interim reports after completion of next community health assessment.	Authority: 10A NCAC 48B .0201

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¹ See **NC DHHS RECORDS SCHEDULE FOR GRANTS**, page xi; it is published semiannually by the DHHS Office of the Controller.

ITEM #	STANDARD 11: ALL HEALTH DEPARTMENT PROGRAMS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	ELECTRONIC PROTECTED HEALTH INFORMATION (ePHI) SECURITY IMPLEMENTATION RECORDS Policies, procedures, and records of actions, activities, and security risk analyses undertaken to ensure ePHI is secure from unauthorized access in compliance with the HIPAA Security Rule.	Destroy in office 6 years from date of creation or 6 years from date when applicable documentation was last in effect, whichever is later.	Retention: 45 CFR 164.316
5.	ENCOUNTER FORMS Forms, including triage logs, used to summarize contacts between department staff and clients.	Destroy in office after 3 years.*	
6.	FEE SCHEDULES Billing guides, fee plans, and schedules of fees charged for services.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ b) Destroy in office remaining records 5 years after superseded.*	Authority: G.S. § 130A-39(g) G.S. § 130A-45.3(a)(5) G.S. § 153A-77(d)(1)
7.	PATIENT APPOINTMENT AND SCHEDULING RECORDS	Destroy in office when reference value ends.† Agency Policy: Destroy in office after _____	
8.	PATIENT DEMOGRAPHIC DATA REPORTS Reports summarizing demographic data for patients in programs.	a) Retain reports with historical value permanently. b) For remaining reports, follow disposition instructions for Local Government General Records Schedule, Standard 1, Reports and Studies.	

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ITEM #	STANDARD 11: ALL HEALTH DEPARTMENT PROGRAMS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
9.	PATIENT SELF-HISTORIES AND RECEIVED MEDICAL RECORDS Preliminary medical information collected concerning patients served by the local health department. May include patient self-histories and health surveys, including family medical histories, known health conditions, and allergies; copies of medical records; and referrals received from other agencies.	a) If individual receives clinical services transfer records to PATIENT CLINICAL RECORDS , page 36, item 5, as applicable. b) Comply with agency policy for patient notification. If unable to locate patient, destroy in office when reference value ends. [†] Agency Policy: Destroy in office after _____	
10.	PROGRAM TIME AND ACTIVITY REPORTS Reports and related records documenting activities of personnel for all program areas.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ b) Destroy in office remaining records after 5 years.*	
11.	PROTECTED HEALTH INFORMATION (PHI) ACCESS RECORDS Records documenting client requests for or restrictions of access to PHI required by the HIPAA Privacy Rule.	Destroy in office 6 years from date of creation or 6 years from date when applicable documentation was last in effect, whichever is later.	Retention: 45 CFR 164.530(j)(2)
12.	PROTECTED HEALTH INFORMATION (PHI) AMENDMENT REQUEST RECORDS Records documenting client requests for amendment of PHI required by the HIPAA Privacy Rule.	Destroy in office 6 years from date of creation or 6 years from date when applicable documentation was last in effect, whichever is later.	Authority: 45 CFR 164.526(d)(4) Retention: 45 CFR 164.530(j)(2)

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ITEM #	STANDARD 11: ALL HEALTH DEPARTMENT PROGRAMS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
13.	PROTECTED HEALTH INFORMATION (PHI) DISCLOSURE RECORDS Records documenting disclosures of PHI required by the HIPAA Privacy Rule. Includes disclosure log.	Destroy in office 6 years from date of creation or 6 years from date when applicable documentation was last in effect, whichever is later.	Authority: 45 CFR 164.508 Retention: 45 CFR 164.528(a)(1)
14.	PROTECTED HEALTH INFORMATION (PHI) PRIVACY PRACTICES RECORDS Policies, procedures, and related records documenting safeguards for privacy of PHI required by the HIPAA Privacy Rule.	Destroy in office 6 years from date of creation or 6 years from date when applicable documentation was last in effect, whichever is later.	Authority: 45 CFR 164.520 Retention: 45 CFR 164.530(j)(2)
15.	PROTECTED HEALTH INFORMATION (PHI) PRIVACY PRACTICES VIOLATION RECORDS Records documenting complaints received concerning privacy policies and procedures required by the HIPAA Privacy Rule.	Destroy in office 6 years from date of creation or 6 years from date when applicable documentation was last in effect, whichever is later.	Retention: 45 CFR 164.530
16.	PUBLIC HEALTH EMERGENCY PREPAREDNESS AND RESPONSE RECORDS Records concerning rapid response to public health emergencies and involvement with county and regional emergency planning. File includes public health preparedness and response plans.	a) Retain records with historical value permanently. b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ c) Destroy in office remaining records after 6 years.*	

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2019 LOCAL HEALTH DEPARTMENT RECORDS RETENTION AND DISPOSITION SCHEDULE



ITEM #	STANDARD 11: ALL HEALTH DEPARTMENT PROGRAMS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
17.	PUBLIC HEALTH PROBLEM SURVEILLANCE RECORDS Records concerning surveillance and investigation of public health hazards, problems, and threats. File includes received reports, health alerts, advisories, and other related records. See also Local Government General Records Schedule, Standard 8, Disaster and Emergency Management Plans.	a) Retain records with historical value permanently. b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ c) Destroy in office remaining records after 6 years.*	
18.	QUALITY ASSURANCE RECORDS Quality assessments of local health department programs. Includes resource materials, procedures, program self-assessments, state monitoring reports of findings, corrective action plans, and other related records.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ b) Destroy in office remaining records after 6 years.*	
19.	SATISFACTION ASSESSMENT SURVEY RESPONSES Client survey response sheets for all programs.	Destroy in office survey response sheets 6 months after survey due date or date of any follow-up inquiry.	Authority: 10A NCAC 48B .1001
20.	SCREENING AND REFERRAL RECORDS Records of screenings, consultations, and referrals conducted by local health department staff in all programs.	a) If individual receives clinical services transfer records to PATIENT CLINICAL RECORDS , page 36, item 5, as applicable. b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ c) Destroy in office remaining records after 5 years.*	

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11: All Health
Department Programs

ITEM #	STANDARD 11: ALL HEALTH DEPARTMENT PROGRAMS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
21.	STANDING ORDERS Includes pre-printed and electronic standing orders, order sets, and protocols for patient orders. See also Local Government General Records Schedule, Standard 5, Delegation of Authority Records.	Destroy in office 3 years after superseded or obsolete.	
22.	STATISTICAL REPORTS Agency statistical studies and reports. Includes statistical and surveillance reports from state Health Information System (HIS) and local health department electronic health record (EHR) systems.	a) Retain reports with historical value permanently. b) For remaining reports, follow disposition instructions for Local Government General Records Schedule, Standard 1, Reports and Studies.	
23.	STERILIZATION RECORDS Records concerning mechanical, chemical, and biological sterilization and disinfection. Includes monitor notebooks and sterilizer logs and tests.	Destroy in office after 3 years.	
24.	VACCINE PROGRAM MANAGEMENT RECORDS Forms, reports, and policies required to document the storage, handling, transfer, and inventorying of vaccines.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ b) Destroy in office remaining records after 5 years.*	

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STANDARD 12: PROGRAM OPERATIONAL RECORDS – ANIMAL CONTROL PROGRAMS

Public health records created or received in local health departments and used to manage and monitor animal control programs.

ITEM #	STANDARD 12: ANIMAL CONTROL PROGRAMS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ACTIVITY REPORTS Daily, weekly, and monthly reports providing statistics regarding complaints answered, dogs and cats impounded, impounded animals disposed of, vaccinations, and animal bites reported.	a) Retain reports with historical value permanently. b) For remaining reports, follow disposition instructions for Local Government General Records Schedule, Standard 1, Reports and Studies.	
2. 	ANIMAL ABUSE AND CRUELTY CASES Includes complaints, citations, compliance orders, and similar records.	Destroy in office after 5 years.*	Confidentiality: G.S. § 132-1.4
3.	ANIMAL ADOPTION RECORDS Includes pre-adoption records and agreements.	Destroy in office after 2 years.	
4.	ANIMAL BITE REPORTS Reports detailing animal bites investigated by, or reported to, local health departments. See also DANGEROUS ANIMALS RECORDS , page 11, item 10.	Destroy in office after 3 years.*	Authority: G.S. § 130A-196
5. 	ANIMAL COMPLAINTS Includes complaints of nuisance animals. See also DANGEROUS ANIMALS RECORDS , page 11, item 10.	Destroy in office after 3 years.*	Confidentiality: G.S. § 132-1.4

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ITEM #	STANDARD 12: ANIMAL CONTROL PROGRAMS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	ANIMAL CONTROL CITATIONS AND COMPLIANCE ORDERS Includes citations and compliance orders issued to animal owners of violations of county ordinances. See also DANGEROUS ANIMALS RECORDS , page 11, item 10.	Destroy in office after 3 years.*	
7.	ANIMAL LICENSE RECORDS Records concerning the payment of license fees.	Destroy in office after 3 years.*	
8.	CERTIFICATES OF ANIMAL RELEASE Certificates verifying health of animals examined and released by local health department.	Destroy in office 1 year after animal is released.	Retention: 02 NCAC 52J .0103
9.	CONTROLLED SUBSTANCE EUTHANASIA LOG Includes amount of controlled substance used and animals destroyed.	Destroy in office after 2 years.	Retention: 21 CFR 1304.03
10.	 DANGEROUS ANIMALS RECORDS Includes complaints, compliance orders, citations, bite reports, and similar records relating to dangerous animals. (See G.S. § 67-4.1 for a definition of “dangerous dog” and “potentially dangerous dog.”)	Destroy in office records concerning dangerous animals until known dead or after 10 years.*	Confidentiality: G.S. § 132-1.4
11.	 HISTORIES OF PET OWNERS Records concerning information for each animal owner that violates the county ordinances. May include signed complaint forms, pictures, and paperwork issued by the animal control officer.	Destroy in office after 3 years.*	Confidentiality: G.S. § 132-1.4

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ITEM #	STANDARD 12: ANIMAL CONTROL PROGRAMS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12.	OWNER CONTACT NOTICE RECORDS Records concerning attempts to contact owners of animals impounded at animal shelter.	Destroy in office 1 year from date of contact.	
13.	SHELTER DISPOSITION RECORDS Records on each animal processed by the animal shelter. Records contain information on whether animal is reclaimed by the owner, adopted, or euthanized.	Destroy in office 1 year after animal is released or euthanized.	Authority: G.S. § 19A, Article 3 02 NCAC 52J .0100 Retention: 02 NCAC 52J .0103
14.	VACCINATION RECORDS Includes rabies vaccination certificates sent to county animal control by area veterinarians.	Destroy in office after 3 years.	Authority: G.S. § 130A-189

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STANDARD 13: PROGRAM OPERATIONAL RECORDS – BUSINESS OFFICE AND PATIENTS’ FINANCIAL RECORDS

Public health records concerning Medicare and Medicaid disbursements, insurance claims and payments, and other financial activities for patients served by local health departments. See the Local Government Agencies General Records Retention and Disposition Schedule, Standard 2: Budget, Fiscal, and Payroll Records for the disposition of records concerning office operational financial activities.

In accordance with G.S. § 131E-97, all charges, accounts, credit histories, and other personal financial records maintained by public health care facilities in connection with admission, treatment, and discharge of individual patients are confidential and exempt from public inspection as outlined in G.S. § 132-6.

Comply with applicable provisions of G.S. § 130A-12 and G.S. § 130A-45.8 regarding confidentiality of local health department records that contain privileged patient medical information, information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act, or HIPAA), or information collected for prevention and control of lead poisoning in children in accordance with G.S. § 130A, Article 5, Part 4.

ITEM #	STANDARD 13: BUSINESS OFFICE AND PATIENTS’ FINANCIAL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ACCOUNTS RECEIVABLE: CLINICAL SERVICES Patient payments; filings to private insurance, Medicare, and Medicaid; aged accounts receivable reports; and other related records. Includes receipts, remittance advice, and other records that document payments received from patients and insurance agencies.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ b) Destroy in office remaining records after 3 years.*	
2.	ADJUSTED PATIENT ACCOUNTS Records of adjustments to patients’ bills and insurance claims.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ b) Destroy in office remaining records after 3 years.*	

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ITEM #	STANDARD 13: BUSINESS OFFICE AND PATIENTS' FINANCIAL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3.	CONSOLIDATED AGREEMENT Consolidated agreement and agreement addenda between local health department and NC DHHS, Division of Public Health concerning requirements for distribution of state and federal funds.	Destroy in office 5 years after annual financial report is filed.*	
4.	COST REPORTS Reports and supporting documentation summarizing costs incurred for administration of programs.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ b) Destroy in office remaining records after 5 years.*	
5.	DEBT SETOFF PROGRAM RECORDS Records concerning accounts sent to NC Debt Setoff Program for collection. Includes returned mail to patients being notified of submission.	Destroy in office after total debt is paid or after 10 years.	Authority: G.S. § 105A
6.	ELIGIBILITY DETERMINATION RECORDS Records concerning financial eligibility of local health department clients for payment programs.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ b) Destroy in office remaining records when reference value ends. [†] Agency Policy: Destroy in office after _____	Authority: 10A NCAC 45A .0202

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ITEM #	STANDARD 13: BUSINESS OFFICE AND PATIENTS' FINANCIAL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
7.	INSURANCE CLAIMS Includes Medicare, Medicaid, and insurance carrier claim forms and records, including schedule of payments, copies of claim, listing of invalid or rejected claims, payment list, and list of checks received.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ b) Destroy in office remaining records after 5 years.*	
8.	INSURANCE PENDING REPORTS Reports and supporting documentation summarizing unpaid insurance claims.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ b) Destroy in office remaining records after 5 years.*	
9.	MEDICARE DISBURSEMENT REPORTS Reports and supporting documentation summarizing funds received from Medicare and the accounts to which they are posted.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ b) Destroy in office remaining records after 3 years.*	
10.	MEDICARE PART D PRESCRIPTION DRUG FINANCIAL RECORDS Financial records related to Part D drug plans administered by the local health department. Includes remittance advice records. See also MEDICARE PART D PRESCRIPTION DRUG PROGRAM RECORDS , page 41, item 8.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ b) Destroy in office remaining records after 10 years.*	Retention: 42 CFR 423.505(d)

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ITEM #	STANDARD 13: BUSINESS OFFICE AND PATIENTS' FINANCIAL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.	PATIENT REFUND RECORDS Reports, logs, and supporting documentation summarizing refunds issued to patients and insurance agencies.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ b) Destroy in office remaining records after 3 years.*	
12.	SUPERBILLS Summaries of charges to client for clinical services with codes for services received. File includes electronic superbills (ESBs).	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ b) Destroy in office remaining records after 6 years.*	

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STANDARD 14: PROGRAM OPERATIONAL RECORDS – COMMUNICABLE DISEASE CONTROL RECORDS

Public health records created or received in local health departments and used to manage and monitor communicable disease control programs. These are not individual patient clinical records. Comply with applicable provisions of G.S. § 130A-12 and G.S. § 130A-45.8 regarding confidentiality of local health department records that contain privileged patient medical information, information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act, or HIPAA), or information collected for prevention and control of lead poisoning in children in accordance with G.S. § 130A, Article 5, Part 4.

ITEM #	STANDARD 14: COMMUNICABLE DISEASE CONTROL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1. 	COMMUNICABLE DISEASE OUTBREAK INVESTIGATION RECORDS Records concerning actions taken by local health directors and public health nurses to control the spread of a communicable disease. Includes copies of letters of notification of exposure sent out to child care facilities, restaurants, etc., outbreak summary reports, after action reports, and other related records.	a) Enter all required information for cases and contacts into the North Carolina Electronic Disease Surveillance System (NC EDSS). Any documents that are part of the investigation should be attached to the corresponding outbreak event in NC EDSS for retention; NC EDSS records are not scheduled for expiration or destruction at this time. Paper records may be destroyed once pertinent information is entered into NC EDSS. b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ c) Destroy in office after 10 years paper records not entered into NC EDSS.*	Authority: G.S. § 130A-140 10A NCAC 41A .0103 Confidentiality: G.S. § 130A-143

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ITEM #	STANDARD 14: COMMUNICABLE DISEASE CONTROL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
2. 	COMMUNICABLE DISEASE REPORTS Part 1 and Part 2 communicable disease report forms, morbidity forms, supplemental surveillance forms, and other related records concerning reports of communicable diseases and information on patients' risk factors. Also includes reports of viral hepatitis and sexually transmitted diseases (STDs)/sexually transmitted infections (STIs).	a) Enter required information into the North Carolina Electronic Disease Surveillance System (NC EDSS). Any documents that are part of the investigation should be attached to the corresponding outbreak event in NC EDSS for retention; NC EDSS records are not scheduled for expiration or destruction at this time. Paper records may be destroyed once pertinent information is entered into NC EDSS. b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ c) Destroy in office after 10 years paper records not entered into NC EDSS.*	Authority: G.S. § 130A-140 10A NCAC 41A .0103 Confidentiality: G.S. § 130A-143 Retention: NC DHHS, Division of Public Health Communicable Disease Manual

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STANDARD 15: PROGRAM OPERATIONAL RECORDS – ENVIRONMENTAL HEALTH RECORDS

Public health records created or received in local health departments and used to manage and monitor environmental health programs. Comply with applicable provisions of G.S. § 130A-12 and G.S. § 130A-45.8 regarding confidentiality of local health department records that contain privileged patient medical information, information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act, or HIPAA), or information collected for prevention and control of lead poisoning in children in accordance with G.S. § 130A, Article 5, Part 4.

ITEM #	STANDARD 15: ENVIRONMENTAL HEALTH RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ENVIRONMENTAL HEALTH PERMITS Records concerning permits for child care facilities, public swimming pools, tattoo parlors, private drinking water wells, and other inspected permittees under the jurisdiction of the environmental health program.	Destroy in office 3 years after expiration, inactivation, or revocation.	Authority: G.S. § 87-97 15A NCAC 02C .0300 15A NCAC 18A
2.	FOOD AND LODGING MAPS, PLANS, AND BLUEPRINTS Records concerning new food service and lodging establishments submitted for review and approval to environmental health program prior to construction.	Destroy in office after 1 year.	
3.	FOOD AND LODGING PERMIT ACTIONS Records concerning the application and permit process for food and lodging establishments. Includes new, transitional, expired, revoked, or suspended permits.	a) Initial and new permits: Destroy in office 3 years after revocation or disapproval. b) Transitional permits: Destroy in office 3 years after new permit application approved or expiration occurs. c) Suspended permits: Destroy in office 3 years after date of suspension or disapproval.	

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ITEM #	STANDARD 15: ENVIRONMENTAL HEALTH RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	FOOD, LODGING, INSTITUTIONAL SANITATION, AND PUBLIC SWIMMING POOLS AND SPAS INSPECTION RECORDS Records concerning environmental health inspections. Includes inspection reports, listings of violations, compliance reports, and other related records.	Destroy in office 3 years after resolution of any violations and closure of report.*	
5.	INSPECTION SUMMARIES Summaries of inspections of establishments whose business impacts environmental health.	a) Destroy in office 3 years after date records were created while establishment is in operation. b) Destroy in office 1 year after establishment ceases operation.	
6.	LABORATORY REPORTS Laboratory reports showing results of environmental health tests.	Destroy in office after 3 years.	
7.	LEAD POISONING PREVENTION RECORDS Records concerning childhood lead poisoning prevention programs. Includes examination and testing results, investigation case files, copies of medical records, remediation plans, and other related records.	a) Enter required information into the North Carolina Electronic Disease Surveillance System (NC EDSS). Any documents part of the investigation should be attached to the corresponding outbreak event in NC EDS for retention. Paper records may be destroyed once pertinent information is entered into NC EDSS. b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ c) Destroy in office paper records not entered into NC EDSS after 10 years.*	Authority: G.S. § 130A, Article 5, Part 4 15A NCAC 18A .3100

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ITEM #	STANDARD 15: ENVIRONMENTAL HEALTH RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
8.	METHAMPHETAMINE LABS DECONTAMINATION RECORDS Records concerning decontamination activities.	Destroy in office 3 years after documented decontamination is complete.	Retention: 10A NCAC 41D .0104
9.	WASTEWATER COLLECTION, TREATMENT, AND DISPOSAL REGULATION RECORDS Records concerning enforcement of permit requirements and wastewater disposal/dispersal regulations. Includes inspections and corrective actions in cases of complaints and illnesses associated with wastewater.	Destroy in office 3 years after implementation of corrective action.*	
10.	WASTEWATER DISPERSAL SUBDIVISION SYSTEM RECORDS Records concerning wastewater dispersal/disposal systems for subdivisions. Includes plans, applications for permits, and other related records.	Destroy in office when system is no longer in use and the system has been properly abandoned or when system is connected to an approved public or community system.	
11.	WASTEWATER DISPERSAL SYSTEM APPLICATIONS - IMPROVEMENT PERMIT AND CONSTRUCTION AUTHORIZATION PERMIT Includes the entirety of the application including wastewater system site plans and plats indicating location of septic tanks, drain fields, other plans and specifications, and site evaluations.	a) Transfer applications for which a permit is issued to WASTEWATER DISPERSAL SYSTEM IMPROVEMENT PERMITS AND CONSTRUCTION AUTHORIZATION PERMITS , page 22, item 13. b) Destroy in office denied applications 3 years after denial. c) Destroy in office remaining applications 1 year after expiration of application period.	

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ITEM #	STANDARD 15: ENVIRONMENTAL HEALTH RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12.	WASTEWATER DISPERSAL SYSTEM ENGINEERED OPTION PERMITS Includes notices of intent, inspection reports, engineer's reports, operations and management programs, and other related records.	Destroy in office when permit is revoked, or the system is no longer in use and the system has been properly abandoned, or the facility is connected to an approved public or community system.	Authority: G.S. § 130A-336.1 15A NCAC 18A .1971
13.	WASTEWATER DISPERSAL SYSTEM IMPROVEMENT PERMITS AND CONSTRUCTION AUTHORIZATION PERMITS Includes the entirety of the permit including applications, wastewater system site plans and plats indicating location of septic tanks, drain fields, other plans and specifications, and site evaluations. Includes expiring and non-expiring permits, as well as permits subject to the 2017 Permit Extension Act.	a) Transfer permits that result in the issuance of an operation permit to WASTEWATER DISPERSAL SYSTEM OPERATION PERMITS , page 22, item 14. b) Destroy in office revoked permits 3 years from date of revocation. c) Destroy in office remaining permits issued between January 1, 2000 and January 1, 2015 after January 1, 2021. d) Destroy in office remaining expiring permits 1 year after expiration date. e) Destroy in office remaining non-expiring permits when permit is revoked, or the system is no longer in use and has been properly abandoned, or the facility is connected to an approved public or community system.	Authority: G.S. § 130A-336 15A NCAC 18A .1937 Retention: G.S. § 130A-336(b1)
14.	WASTEWATER DISPERSAL SYSTEM OPERATION PERMITS Permit issued to verify wastewater disposal/dispersal systems have been completed according to local health department guidelines and are approved for use.	Destroy in office when permit is revoked, or the system is no longer in use and the system has been properly abandoned, or the facility is connected to an approved public or community system.	Authority: G.S. § 130A-337.15A 15A NCAC 18A .1937

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ITEM #	STANDARD 15: ENVIRONMENTAL HEALTH RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
15.	WATER SUPPLY ON-SITE SANITATION SERVICES RECORDS Records concerning sanitation of individual on-site water supplies. File includes inspections, test results, analyses of water samples, and corrective actions in cases of complaints and illnesses associated with water supplies.	Destroy in office 3 years after implementation of corrective action.*	
16.	WATER SUPPLY REGISTRY – PERMITTED WELLS Registry of all private drinking water wells for which a construction or repair permit was issued. Includes water test results for permitted wells.	a) Retain registry in office permanently. b) Destroy in office water test results upon closure of well.	Authority: G.S. § 87-97 15A NCAC 02C .0307 Retention: G.S. § 87-97(k)
17.	WATER SUPPLY WELL OPERATIONS RECORDS Forms submitted by well contractors concerning construction, abandonment, and repair of private drinking water wells in area of local health department. File includes certifications of completion or abandonment.	Destroy in office when well is no longer in use or when water supply is connected to an approved public or community system.	Authority: 15A NCAC 02C .0114

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STANDARD 16: PROGRAM OPERATIONAL RECORDS – HEALTH EDUCATION RECORDS

Public health records created or received in local health departments and used to manage and monitor health education programs. These are not individual patient clinical records. Comply with applicable provisions of G.S. § 130A-12 and G.S. § 130A-45.8 regarding confidentiality of local health department records that contain privileged patient medical information, information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act, or HIPAA), or information collected for prevention and control of lead poisoning in children in accordance with G.S. § 130A, Article 5, Part 4.

ITEM #	STANDARD 16: HEALTH EDUCATION RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	HEALTH EDUCATION RECORDS Records documenting contacts with individuals receiving health education services. Includes screenings, consultations, and referrals.	a) If individual receives clinical services transfer records to PATIENT CLINICAL RECORDS , page 36, item 5, as applicable. b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ c) Destroy in office remaining records after 5 years.*	Authority: 10A NCAC 48B .0803
2.	HEALTH PROMOTION TRAINING RECORDS Records concerning health promotion classes and training, including pregnancy prevention, childbirth education, worksite wellness, nutrition counseling, injury control, and tobacco cessation.	a) If individual receives clinical services transfer records to PATIENT CLINICAL RECORDS , page 36, item 5, as applicable. b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ c) Destroy in office remaining records after 5 years.*	Authority: 10A NCAC 48B .0402

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ITEM #	STANDARD 16: HEALTH EDUCATION RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3.	MEDIA AND PUBLIC HEALTH INFORMATION Records concerning information released to media, the public, and appointed and elected officials. Includes copies of public health assessments, requests for health education presentations, public health hotline messages, public health press releases, community health data and health status information, and other related records. See also Local Government General Records Schedule, Standard 7, Public Relations Records.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records when reference value ends. [†] Agency Policy: Destroy in office after _____	Authority: 10A NCAC 48B .0400
4.	SEXUALLY TRANSMITTED DISEASE (STD)/SEXUALLY TRANSMITTED INFECTION (STI) COUNSELING AND TESTING QUARTERLY REPORTS Records summarizing counseling and testing for HIV/AIDS and other sexually transmitted diseases and infections.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ b) Destroy in office remaining records after 5 years.*	
5.	SEXUALLY TRANSMITTED DISEASE (STD)/SEXUALLY TRANSMITTED INFECTION (STI) EDUCATION REPORTS Records concerning public education and awareness efforts concerning HIV/AIDS and other sexually transmitted diseases and infections.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ b) Destroy in office remaining records after 5 years.*	

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STANDARD 17: PROGRAM OPERATIONAL RECORDS – HOME HEALTH AND COMMUNITY-BASED SERVICES RECORDS

Public health records created or received in local health departments and used to manage and monitor home health and community-based services programs. These are not individual patient clinical records. Comply with applicable provisions of G.S. § 130A-12 and G.S. § 130A-45.8 regarding confidentiality of local health department records that contain privileged patient medical information, information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act, or HIPAA), or information collected for prevention and control of lead poisoning in children in accordance with G.S. § 130A, Article 5, Part 4.

ITEM #	STANDARD 17: HOME HEALTH AND COMMUNITY-BASED SERVICES RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	COMMUNITY ALTERNATIVES PROGRAM FOR CHILDREN (CAP/C) CASE RECORDS Includes service plans, NC DHHS authorization forms, service orders, waiver supports, and other related records.	a) If individual receives clinical services transfer records to PATIENT CLINICAL RECORDS , page 36, item 5, as applicable. b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ c) Destroy in office remaining records after 6 years.*	
2.	COMMUNITY ALTERNATIVES PROGRAM FOR DISABLED ADULTS (CAP/DA) CASE RECORDS Includes service plans, NC DHHS authorization forms, service orders, waiver supports, and other related records.	a) If individual receives clinical services transfer records to PATIENT CLINICAL RECORDS , page 36, item 5, as applicable. b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ c) Destroy in office remaining records after 6 years.*	

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ITEM #	STANDARD 17: HOME HEALTH AND COMMUNITY-BASED SERVICES RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3.	HOME HEALTH ADVISORY COMMITTEE MINUTES See also Local Government General Records Schedule, Standard 1, Minutes of Public Bodies. See the MICROFILM section on page 61 for instructions on microfilming.	Retain official minutes in office permanently.	
4.	HOME HEALTH PROGRAM RECORDS Records documenting contacts between home health services and individuals served by the local health department. Includes screenings, consultations, referrals, admission and service data, plans of care, and case conferences.	a) If individual receives clinical services transfer records to PATIENT CLINICAL RECORDS , page 36, item 5, as applicable. b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ c) Destroy in office remaining records after 5 years.*	Authority: 10A NCAC 46 .0208 10A NCAC 13J .1400
5.	INSURANCE FOR THE AGED CERTIFICATION Records concerning certification of organizations offering health insurance for the aged.	Destroy in office upon expiration of certification.	
6.	NC STATE LICENSURE CERTIFICATE Proof of licensure by NC DHHS to operate as a home care agency.	Destroy in office upon expiration of certification.	Authority: 10A NCAC 13J .0902

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STANDARD 18: PROGRAM OPERATIONAL RECORDS – LABORATORY RECORDS

Public health records created or received in local health departments and used to manage and monitor laboratory programs. These are not individual patient clinical records. Comply with applicable provisions of G.S. § 130A-12 and G.S. § 130A-45.8 regarding confidentiality of local health department records that contain privileged patient medical information, information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act, or HIPAA), or information collected for prevention and control of lead poisoning in children in accordance with G.S. § 130A, Article 5, Part 4.

ITEM #	STANDARD 18: LABORATORY RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	EQUIPMENT AND INSTRUMENT MAINTENANCE AND REPAIR FILE Records documenting the proper functioning of equipment. Includes notebooks, logs, and test results.	Destroy in office after 2 years.	Retention: 42 CFR 493.1105(a)(5)
2.	 HIV TEST RECORDS Records and logs documenting the transfer of samples to NC DHHS for HIV test processing. May include test results and patient information.	a) Transfer individual clinical records to PATIENT CLINICAL RECORDS , page 36, item 5, as applicable. b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ c) Destroy in office remaining records after 5 years.*	Confidentiality: G.S. § 130A-143
3.	LABORATORY PROCEDURES MANUAL Laboratory test procedures with dates of initial use and discontinuance.	Destroy in office 2 years after date of discontinuance.	Retention: 42 CFR 493.1105(a)(2)

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ITEM #	STANDARD 18: LABORATORY RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	MEDICAL EXAMINER RECORDS Records related to the investigation of deaths by the county medical examiner. May include photographs, notes, reference copies of medical records and law enforcement reports, and other related records.	a) Submit final report to DHHS Office of the Chief Medical Examiner. b) Submit certificate of death to the State Registrar of Vital Statistics. c) Destroy in office remaining investigatory materials when reference value ends. [†] Agency Policy: Destroy in office after _____ <i>Retention Note: The offices receiving the final report and the death certificate are the records custodians.</i>	Authority: G.S. § 130A-385
5.	PROFICIENCY TESTING RECORDS Records used to attest the handling, preparation, processing, examination, and reporting of results of all proficiency testing. Includes testing report forms, records documenting testing failures and corrective actions, and other related records.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ b) Destroy in office remaining records after 2 years.*	Retention: 42 CFR 493.1105(a)(4)

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ITEM #	STANDARD 18: LABORATORY RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	QUALITY CONTROL RECORDS Records concerning quality control of analytics systems as well as quality system assessment. File includes instrument printouts, analytic systems activities, test system performance specifications, and other related records.	a) Retain in office permanently quality control records for blood and blood products with no expiration dates.* b) Destroy in office quality control records for immunohematology, blood and blood products with expiration dates, and transfusions 10 years after completion of processing or 6 months after expiration date for individual product, whichever is later.* c) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ d) Destroy in office remaining records after 2 years.* <i>Retention Note: Retain test system performance specifications for life of test system. Upon disuse of test system, follow disposition instructions above.</i>	Retention: 21 CFR 606.160(d) 42 CFR 493.1105(a)(3) 42 CFR 493.1105(a)(5)
7.	SLIDES, BLOCKS, AND TISSUE Includes cytology slide preparations, histopathology slides, pathology specimen blocks, and tissue remnants.	a) Destroy in office histopathology slides 10 years from date of examination. b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ c) Destroy in office remaining records after 6 years.*	Authority: 42 CFR 493.1105 Retention: 42 CFR 493.1105

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ITEM #	STANDARD 18: LABORATORY RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
8.	TEST REPORTS Final, preliminary, and corrected test reports concerning test results processed on-site or at another location. File includes immunohematology test reports and pathology test reports. See also HIV TEST RECORDS , page 28, item 2.	a) Transfer individual clinical records to PATIENT CLINICAL RECORDS , page 36, item 5, as applicable. b) Retain in office permanently immunohematology test reports for products with no expiration date.* c) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ d) Destroy remaining test reports for immunohematology, blood and blood products, and transfusions 10 years after completion of processing or 6 months after latest expiration date for individual product, whichever is later.* e) Destroy in office remaining pathology test reports after 10 years.* f) Destroy in office all other remaining test reports after 2 years.*	Retention: 21 CFR 606.160(d) 42 CFR 493.1105
9.	TEST REQUISITIONS Includes test authorizations and copies of patients' medical records if used as test requisitions or authorizations.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ b) Destroy in office remaining records after 2 years.*	Retention: 42 CFR 493.1105

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STANDARD 19: PROGRAM OPERATIONAL RECORDS – MATERNAL AND CHILD HEALTH RECORDS

Public health records created or received in local health departments and used to manage and monitor maternal and child health programs. These are not individual patient clinical records. Comply with applicable provisions of G.S. § 130A-12 and G.S. § 130A-45.8 regarding confidentiality of local health department records that contain privileged patient medical information, information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act, or HIPAA), or information collected for prevention and control of lead poisoning in children in accordance with G.S. § 130A, Article 5, Part 4.

ITEM #	STANDARD 19: MATERNAL AND CHILD HEALTH RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ADMINISTRATIVE FACILITY INFORMATION (CHILD HEALTH PROGRAM) Includes memorandum of agreement forms, visit narrative notes, facility assessment forms, and other related records.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ b) Destroy in office remaining records after 5 years.*	
2.	CARE COORDINATION FOR CHILDREN (CC4C) PROGRAM RECORDS Records concerning status of children in CC4C program, including child's name, referral, report date, development status, service status, and other related information. Records created and maintained in NC DHHS, Division of Public Health CC4C Case Management Information System (CMIS).	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ b) Destroy in office remaining records after 5 years.*	

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ITEM #	STANDARD 19: MATERNAL AND CHILD HEALTH RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3.	CHILD CARE HEALTH CONSULTANT RECORDS (CHILD HEALTH PROGRAM) Records concerning child care health programs administered to child care facilities by local health departments. May include parent and guardian permission slips, child health assessment forms, confidentiality statements, screening forms, and other related records.	a) If child receives clinical services transfer records to PATIENT CLINICAL RECORDS , page 36, item 5, as applicable. b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ c) Destroy in office remaining records after 5 years.*	
4.	 CHILD FATALITY PREVENTION TEAM REVIEWS Case reviews submitted by local child fatality prevention teams listing identifying information, summaries, outcomes of reviews, administrative comments, and other related information. File also includes minutes and quarterly reports to board of health.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ b) Destroy in office remaining records after 5 years.*	Authority: G.S. § 7B-1410 Confidentiality: G.S. § 7B-1413
5.	CHILDREN WITH SPECIAL HEALTH CARE NEEDS SERVICES RECORDS Records concerning services provided to children with special health care needs administered through local health departments.	a) Transfer individual clinical records to PATIENT CLINICAL RECORDS , page 36, item 5, as applicable. b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions and when child reaches 30 years of age and has not received services within the last 10 years. ¹ c) Destroy in office remaining records when child reaches 30 years of age and has not received services within the last 10 years.*	

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ITEM #	STANDARD 19: MATERNAL AND CHILD HEALTH RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	MATERNAL AND CHILD HEALTH RECORDS Records documenting maternal and child health services offered to individuals within the jurisdiction of the local health department. Includes screenings, consultations, referrals, Sudden Infant Death Syndrome (SIDS) home visit reports, and pregnancy care management services records.	a) Transfer individual clinical records to PATIENT CLINICAL RECORDS , page 36, item 5, as applicable. b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions and when child reaches 30 years of age and has not received services within the last 10 years. ¹ c) Destroy in office remaining records when child reaches 30 years of age and has not received services within the last 10 years.*	
7.	SUDDEN INFANT DEATH SYNDROME (SIDS) PATHOLOGY REPORTS Reference copies of autopsies.	Destroy in office when reference value ends. [†] Agency Policy: Destroy in office after _____	

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page viii.

[†] See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

¹ See **NC DHHS RECORDS SCHEDULE FOR GRANTS**, page xi; it is published semiannually by the DHHS Office of the Controller.

STANDARD 20: PROGRAM OPERATIONAL RECORDS – PATIENT CLINICAL RECORDS

Records created or received by local health departments documenting patient care, including x-ray films, consents for medical care, and copies of laboratory reports.

In accordance with G.S. § 131E-97, all medical records compiled and maintained by public health care facilities are confidential and exempt from public inspection as outlined in G.S. § 132-6. Custodians also should be familiar with G.S. § 8-53 concerning confidentiality of communications between physicians and their patients.

Comply with applicable provisions of G.S. § 130A-12 and G.S. § 130A-45.8 regarding confidentiality of local health department records that contain privileged patient medical information, information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act, or HIPAA), or information collected for prevention and control of lead poisoning in children in accordance with G.S. § 130A, Article 5, Part 4.

ITEM #	STANDARD 20: PATIENT CLINICAL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	DENTAL PATIENT RECORDS Dental clinical records for patients served by the local health department.	a) Adult patients: Destroy in office 10 years from date of last service.* b) Pediatric patients: Destroy in office when individual reaches 30 years of age and has not received services within the last 10 years. If individual has received services within the last 10 years, follow disposition instructions for adult patients.* c) Deceased patients: Destroy in office 10 years from date of last service.	Authority/Retention: 21 NCAC 16T .0101

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† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.

¹ See **NC DHHS RECORDS SCHEDULE FOR GRANTS**, page xi; it is published semiannually by the DHHS Office of the Controller.

ITEM #	STANDARD 20: PATIENT CLINICAL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
2.	IMMUNIZATION CONSENT FORMS Consent forms completed by individuals receiving yearly influenza or other inoculations.	a) Transfer consent forms containing immunization information (dose details, etc.) to IMMUNIZATION RECORDS , page 36, item 3. b) Destroy in office remaining consent forms with HIPAA section after 6 years. c) Destroy in office remaining consent forms without HIPAA section after 3 years.	Retention: 45 CFR 164.530(j)(2)
3.	IMMUNIZATION RECORDS Immunization records for patients served by the local health department.	a) Destroy in office immunization records 1 year after entry in the North Carolina Immunization Registry (NCIR). b) Destroy in office immunization records not entered in the NCIR after patient's death and 10 years from date of last service, whichever is later.	Authority: G.S. § 130A-153
4.	MAMMOGRAMS	a) Destroy in office baseline and most recent mammogram 10 years from date of last service.* b) Destroy in office remaining records when superseded.*	
5.	PATIENT CLINICAL RECORDS Clinical records for all patients served by the local health department. Files includes both paper and electronic health records. Also includes x-rays and other diagnostic reports. See also SEXUALLY TRANSMITTED DISEASES (STD)/SEXUALLY TRANSMITTED INFECTIONS (STI) (CLINICAL) RECORDS , page 37, item 8, and TUBERCULOSIS (CLINICAL) RECORDS , page 38, item 9.	a) Adult patients: Destroy in office 10 years from date of last service.* b) Pediatric patients: Destroy in office when individual reaches 30 years of age and has not received services within the last 10 years. If individual has received services within the last 10 years, follow disposition instructions for adult patients.* c) Deceased patients: Destroy in office 10 years from date of last service.	Retention: G.S. § 1-15

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ITEM #	STANDARD 20: PATIENT CLINICAL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6. 	PERINATAL HEPATITIS B PREVENTION REPORT PART I Records tracking the testing and vaccination status of newborns exposed to hepatitis B at birth.	a) Enter required information into the North Carolina Electronic Disease Surveillance System (NC EDSS) and the North Carolina Immunization Registry (NCIR). b) Destroy in office when individual reaches 30 years of age and has not received services within the last 10 years.*	Confidentiality: G.S. § 130A-143
7. 	PERINATAL HEPATITIS B PREVENTION REPORT PART II Records tracking the testing and vaccination status of contacts of pregnant females who have hepatitis B.	a) Enter required information into the North Carolina Electronic Disease Surveillance System (NC EDSS) and the North Carolina Immunization Registry (NCIR). b) Destroy in office 10 years from date of last service.	Confidentiality: G.S. § 130A-143
8. 	SEXUALLY TRANSMITTED DISEASES (STD)/SEXUALLY TRANSMITTED INFECTIONS (STI) (CLINICAL) RECORDS Clinical records of patients who receive services for sexually transmitted diseases/sexually transmitted infections, including HIV/AIDS.	Destroy in office 10 years after documented determination of cure or after death of patient.	Authority: NC DHHS, Sexually Transmitted Diseases Public Health Program Manual Confidentiality: G.S. § 130A-143

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page viii.

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ITEM #	STANDARD 20: PATIENT CLINICAL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
9. 	TUBERCULOSIS (CLINICAL) RECORDS Clinical records for patients with tuberculosis (TB). File also includes summaries of treatment, x-rays, culture results, drug records, counseling, and other related records.	a) Negative test: Destroy in office after 1 year. b) TB infection (no disease): Retain interpretation of most recent x-ray films, TB drug record if treated, and HIV test results if tested for life of patient. Destroy x-ray films 10 years from date of last service. c) TB disease: Retain summary of treatment, most recent x-ray films including interpretations, TB drug record, HIV test results if tested, most recent mycobacterium TB culture result with susceptibilities, and hospital discharge summaries, if any, for life of patient. Destroy all but the most recent x-ray films 10 years from date of last service. d) When patient reaches 90 years of age or is deceased: Destroy records and x-ray films 10 years from date of last service.	Authority: NC DHHS, Tuberculosis Control Program Policy Manual Confidentiality: G.S. § 130A-143

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STANDARD 21: PROGRAM OPERATIONAL RECORDS – PHARMACY RECORDS

Records created or received by pharmacies operating within local health departments. According to 21 NCAC 46 .2508, local health departments may create and maintain pharmacy records digitally, provided that the system can print pharmacy records, protects against unauthorized access to pharmacy records, and is backed up daily.

In accordance with G.S. § 131E-97, all medical records compiled and maintained by public health care facilities are confidential and exempt from public inspection as outlined in G.S. § 132-6. This exemption includes financial records concerning charges, accounts, and credit histories, and other personal financial records. Custodians also should be familiar with G.S. § 8-53 concerning confidentiality of communications between physicians and their patients.

Comply with applicable provisions of G.S. § 130A-12 and G.S. § 130A-45.8 regarding confidentiality of local health department records that contain privileged patient medical information, information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act, or HIPAA), or information collected for prevention and control of lead poisoning in children in accordance with G.S. § 130A, Article 5, Part 4.

ITEM #	STANDARD 21: PHARMACY RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ADVERSE DRUG REACTION REPORTS Reports to the Food and Drug Administration describing adverse drug reactions.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ b) Destroy in office remaining records after 3 years.*	
2.	CONTROLLED SUBSTANCES RECORDS Records concerning ordering, receiving, dispensing, and transfer of schedule II, III, IV, and V controlled substances. File includes perpetual inventories, invoices, records of disposition of controlled substances prepared for patients but not used, records documenting controlled substances dispensed directly to patients, and controlled substances returned and credited.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ b) Destroy in office remaining records after 3 years.*	Authority: G.S. § 90, Article 5 21 NCAC 46 .1414 21 NCAC 46 .2502

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† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.

¹ See **NC DHHS RECORDS SCHEDULE FOR GRANTS**, page xi; it is published semiannually by the DHHS Office of the Controller.

ITEM #	STANDARD 21: PHARMACY RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3.	DRUG DISPOSAL RECORDS Records documenting the destruction, disposal, or final disposition of all outdated, improperly labeled, adulterated, damaged, or unwanted controlled and non-controlled substances, or drug containers with worn, illegible, or missing labels.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ b) Destroy in office remaining records after 3 years.*	Authority/Retention: 21 NCAC 46 .3001
4.	DRUG INVENTORIES Inventories of controlled and non-controlled substances and prepackaged drugs. File includes inventory reports, ancillary drug cabinet inventories, biennial and annual inventories, perpetual inventories, and similar records used to account for medication compounding and dispensing by pharmacies and locations outside the pharmacy.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ b) Destroy in office remaining records after 3 years.*	Authority/Retention: 21 NCAC 46 .1414 21 NCAC 46 .2513
5.	INTRAVENOUS HOOD PERFORMANCE REPORTS Records of tests conducted on intravenous hoods to ensure a sterile environment.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ b) Destroy in office remaining records after 5 years.*	
6.	MEDICATION ERRORS Records documenting the administration of an incorrect medication or dose. File includes pertinent chronological information, appropriate health care facility forms, and investigative reports including the identity of individual(s) responsible.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ b) Destroy in office remaining records after 3 years.*	Retention: G.S. § 90-85.26 21 NCAC 46 .1414

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page viii.

† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

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ITEM #	STANDARD 21: PHARMACY RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
7.	MEDICATION STORAGE INSPECTION REPORTS Reports of medication storage areas inspected on a routine basis, including removal of expired or expiring medication.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ b) Destroy in office remaining records after 5 years.*	
8.	MEDICARE PART D PRESCRIPTION DRUG PROGRAM RECORDS Records needed to determine compliance with Part D contracts and regulations, such as copies of prescriptions, claims and purchase records, signature logs, and other related records. See also MEDICARE PART D PRESCRIPTION DRUG FINANCIAL RECORDS , page 15, item 10.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ b) Destroy in office remaining records after 10 years.*	Retention: 42 CFR 423.505(e)(4)
9.	PATIENT MEDICATION PROFILES Lists of all prescribed medications for each patient.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ b) Destroy in office remaining records after 3 years.*	Authority/Retention: 21 NCAC 46 .1414

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page viii.

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ITEM #	STANDARD 21: PHARMACY RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
10.	PHARMACY AUDIT RECORDS Records documenting periodic audits performed by the NC DHHS, Division of Medical Assistance. See also Local Government General Records Schedule, Standard 1, Audits: Performance.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ b) Destroy in office remaining records after 5 years.*	
11.	PHARMACY LICENSES AND PERMITS Licenses, permits, and application records submitted to the NC Board of Pharmacy.	Destroy in office when superseded or obsolete.	Authority: G.S. § 90-85.21 21 NCAC 46 .1601
12.	PHARMACEUTICAL PATIENT COUNSELING AND ASSESSMENT RECORDS Records involving the interpretation and evaluation of a patient's drug therapy or other pharmaceutical care services. File includes on-site drug and medication reviews, collected patient information, and documentation of refusals to receive counseling.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ b) Destroy in office remaining records after 3 years.*	Authority/Retention: 21 NCAC 46 .2504
13.	PRESCRIPTION DISPENSING AND FILLING RECORDS Records documenting the dispensing and filling of prescriptions. Records include dispensing date, quantity dispensed, pharmacist's name, and documentation of satisfaction of state requirements for drug selection. Also includes records of immunizations administered by the pharmacist.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ b) Destroy in office remaining records after 3 years.*	Authority: 21 NCAC 46 .1414 21 NCAC 46 .2302 21 NCAC 46 .2303 21 NCAC 46 .2304 21 NCAC 46 .2507 21 NCAC 46 .2801

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ITEM #	STANDARD 21: PHARMACY RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
14. 	PRESCRIPTION ORDERS Prescription orders and refills for controlled and non-controlled substances, other medications, or devices for each patient. File includes date of issuance; patient's name and address; medication name, strength, dosage form, quantity (as well as any refills or stop date), route of administration, and directions for use; and prescriber's name, address, and telephone number (and in the case of controlled substances, DEA number). See also MEDICARE PART D PRESCRIPTION DRUG PROGRAM RECORDS , page 41, item 8.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ b) Destroy in office remaining records after 3 years.*	Authority: G.S. § 90-85.26 21 NCAC 46 .1803 21 NCAC 46 .1806 21 NCAC 46 .1813 21 NCAC 46 .1816 21 NCAC 46 .2301 Confidentiality: G.S. § 90-85.36 Retention: 21 NCAC 46 .1414
15. 	QUALITY ASSURANCE PROGRAM RECORDS Records concerning the proceedings of a pharmacy quality assurance program as well as the records and materials it produces.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ b) Destroy in office remaining records after 3 years.*	Authority: G.S. § 90-85.47 Confidentiality: G.S. § 90-85.47(d)

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STANDARD 22: PROGRAM OPERATIONAL RECORDS – RADIOLOGY RECORDS

Public health records concerning protection from sources of radiation used for medical radiology. Records are created or received in local health departments and used to manage and monitor federal, state, and local programs. These are not individual patient clinical records. Comply with applicable provisions of G.S. § 130A-12 and G.S. § 130A-45.8 regarding confidentiality of local health department records that contain privileged patient medical information, information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act, or HIPAA), or information collected for prevention and control of lead poisoning in children in accordance with G.S. § 130A, Article 5, Part 4.

ITEM #	STANDARD 22: RADIOLOGY RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	QUALITY CONTROL RECORDS Records concerning quality control for radiology programs. File includes surveys, instrument calibrations and quality control tests, leak tests, silver recovery records, quarterly source inventories, and other related records.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ b) Destroy in office remaining records after 3 years.*	Authority/Retention: 10A NCAC 15 .1643

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ITEM #	STANDARD 22: RADIOLOGY RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
2.	RADIATION AREA SURVEY RECORDS Area surveys conducted with radiation detection equipment.	a) Retain until termination of each pertinent license requiring the records: records of dosages from external sources used in assessments of individual dose equivalents; records of measurements of individual intakes of radioactive material used in assessments of internal doses; records of air sampling, surveys, and bioassays required pursuant to 10A NCAC 15 .1620(a); and records of measurements of releases of radioactive effluents to the environment. Upon termination, follow disposition instructions below. b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ c) Destroy in office remaining records after 3 years.*	Authority/Retention: 10A NCAC 15 .1637
3.	RADIATION DOSES ADMINISTERED RECORDS Logs or similar records documenting the amount of radiation given to patients.	a) Retain until termination of each pertinent license or registration requiring the records. Upon termination, follow disposition instructions below. b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ c) Destroy in office remaining records after 3 years.*	Authority: 10A NCAC 15 .1640

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ITEM #	STANDARD 22: RADIOLOGY RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	RADIATION EXPOSURE HISTORY RECORDS Records concerning radiation exposure levels of local health department staff. File includes film badge reports and other related records.	a) Destroy in office records on the agency form for recording occupational radiation dose history or equivalent when the agency terminates each pertinent license or registration requiring this record. b) Destroy in office after 3 years records used in preparing the agency form for recording occupational radiation dose history.	Authority/Retention: 10A NCAC 15 .1638
5.	RADIATION PROTECTION PROGRAM RECORDS Records and reports documenting inspections by state and federal agencies, consultants, and radiology providers. File includes audit reports, review evaluations, proof of corrective actions taken, and program content and implementation records.	a) Destroy in office records documenting the provisions of the radiation protection program when the agency terminates each pertinent license or registration requiring this record. b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ c) Destroy in office remaining records after 3 years.*	Retention: 10A NCAC 15 .1636
6.	RADIOACTIVE MATERIALS RECEIPT AND DISPOSAL RECORDS Records and reports concerning the receipt, return, and disposal of radioactive materials. Records list date received and returned, condition of packages, wipe test results, trigger levels, dose rates, names of individuals performing inspections, and other related information.	a) Destroy in office records of the disposal of licensed radioactive materials when the agency terminates each pertinent license or registration requiring this record. b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ c) Destroy in office remaining records after 3 years.*	Authority: 10A NCAC 15 .0115 10A NCAC 15 .0362 10A NCAC 15 .1642 Retention: 10A NCAC 15 .0362 10A NCAC 15 .1642

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ITEM #	STANDARD 22: RADIOLOGY RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
7.	RADIOLOGICAL FILM SIGN-OUT RECORDS Records concerning the release of radiological films by a facility for review by another physician. Sign-out records list patient's name, type of film being released, where records were sent, date released, signature of person receiving exams, and other related information.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ b) Destroy in office remaining records after 3 years.*	
8.	RADIOLOGY EQUIPMENT REGISTRATION Registration information for radiology equipment.	Destroy in office upon final disposition of equipment.	Authority: 10A NCAC 15 .0200

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STANDARD 23: PROGRAM OPERATIONAL RECORDS – SCHOOL HEALTH RECORDS

Records concerning health and behavioral support services provided by local health department nurses to students at area schools. Records are created or received in local health departments and used to manage and monitor federal, state, and local programs. Comply with applicable provisions of G.S. § 130A-12 and G.S. § 130A-45.8 regarding confidentiality of local health department records that contain privileged patient medical information, information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act, or HIPAA), or information collected for prevention and control of lead poisoning in children in accordance with G.S. § 130A, Article 5, Part 4.

ITEM #	STANDARD 23: SCHOOL HEALTH RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	BEHAVIORAL HEALTH PROGRAM POLICY AND PROCEDURE RECORDS Policies and procedures documenting agency practices in implementing a behavioral health program.	Retain in office permanently.	
2.	BEHAVIORAL HEALTH SERVICES RECORDS Includes selective and indicative prevention service records for local health departments contracted to provide behavioral support services.	Destroy in office when student reaches 30 years of age and has not received services within the last 10 years.*	
3.	BEHAVIORAL REFERRAL RECORDS Records of screenings, consultations, and referrals from other agencies.	a) If student receives clinical services transfer to BEHAVIORAL HEALTH SERVICES RECORDS , page 48, item 2. b) Destroy in office remaining records when reference value ends.† Agency Policy: Destroy in office after _____	
4.	CLIENT APPOINTMENT AND SCHEDULING RECORDS Logs and similar records used to document patient appointments.	Destroy in office when reference value ends.† Agency Policy: Destroy in office after _____	

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page viii.

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ITEM #	STANDARD 23: SCHOOL HEALTH RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.	SCHOOL HEALTH PROVIDER CONTRACTS Memorandums of agreement and contracts between local health departments and local education agencies outlining each party's responsibilities and duties.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ b) Destroy in office remaining records after 6 years.*	Authority: NC DHHS, School Health Program Manual
6.	 SCHOOL HEALTH SCREENING RECORDS Records and logs documenting results of vision, blood pressure, hearing, dental, and other screenings conducted by school nurses. See also SCREENING AND REFERRAL RECORDS , page 8, item 20.	a) Transfer relevant information to Local Education Agency for retention with Local Education Agency's student records. b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions and student reaches 30 years of age. ¹ c) Destroy in office remaining records when student reaches 30 years of age.*	Authority: NC DHHS, School Health Program Manual Confidentiality: G.S. § 115C-402(e)
7.	SCHOOL HEALTH SERVICES REPORTS Reports listing school enrollments, health services provided by nurses, and similar statistical information. Files includes all reports filed with NC DHHS.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹ b) Destroy in office remaining records after 6 years.*	Authority: NC DHHS, School Health Program Manual

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page viii.

† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

¹ See **NC DHHS RECORDS SCHEDULE FOR GRANTS**, page xi; it is published semiannually by the DHHS Office of the Controller.

ITEM #	STANDARD 23: SCHOOL HEALTH RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
8. 	SCHOOL NURSE RECORDS Permanent health records and individual health and nursing records created by school nurse or other health care providers documenting encounters between school nurses and students. File includes narrative notes, forms and worksheets used and completed by nurses during school visits, and copies of medical records from outside providers.	a) Transfer relevant information to Local Education Agency for retention with Local Education Agency's student records. b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions and student reaches 30 years of age. ¹ c) Destroy in office remaining records when student reaches 30 years of age.*	Authority: NC DHHS, School Health Program Manual Confidentiality: G.S. § 115C-402(e)

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page viii.

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¹ See **NC DHHS RECORDS SCHEDULE FOR GRANTS**, page xi; it is published semiannually by the DHHS Office of the Controller.

STANDARD 24: PROGRAM OPERATIONAL RECORDS – VITAL RECORDS

Public health records created or received in local health departments and used to manage and monitor vital records programs. These are not individual patient clinical records. Comply with applicable provisions of G.S. § 130A-12 and G.S. § 130A-45.8 regarding confidentiality of local health department records that contain privileged patient medical information, information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act, or HIPAA), or information collected for prevention and control of lead poisoning in children in accordance with G.S. § 130A, Article 5, Part 4. Comply with applicable provisions of G.S. § 130A-93(b) regarding confidentiality of birth data.

ITEM #	STANDARD 24: VITAL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1. 	BIRTH AND DEATH RECORDS Copies of birth and death certificates. See also BIRTHS AND INDEX , page 51, item 2, and DEATHS AND INDEX , page 52, item 4.	Destroy in office within 2 years.	Authority: G.S. § 130A, Article 4 Confidentiality: G.S. § 130A-93(b) Retention: G.S. § 130A-97(5)
2. 	BIRTHS AND INDEX Official copies of birth certificates deposited with the Register of Deeds by the local health department. Original records are filed with NC DHHS, Division of Public Health, Vital Records. <i>Note: County Register of Deeds Office may keep official record.</i> See also BIRTH AND DEATH RECORDS , page 51, item 1.	a) Transfer original birth certificates to North Carolina Vital Records. b) Transfer official copies to county Register of Deeds. c) Records and indexes that have been transcribed or otherwise duplicated may be destroyed in office upon State Archives approval.	Authority: G.S. § 130A, Article 4 Confidentiality: G.S. § 130A-93(b)

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page viii.

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¹ See **NC DHHS RECORDS SCHEDULE FOR GRANTS**, page xi; it is published semiannually by the DHHS Office of the Controller.

ITEM #	STANDARD 24: VITAL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3.	BURIAL TRANSIT PERMITS	Destroy in office after 1 year.	Authority: G.S. § 130A-113
4.	DEATHS AND INDEX Official copies of death certificates deposited with the Register of Deeds by the local health department. Original records are filed with NC DHHS, Division of Public Health, Vital Records. <i>Note: County Register of Deeds Office may keep official record.</i> See also BIRTH AND DEATH RECORDS , page 51, item 1.	a) Transfer original death certificates to North Carolina Vital Records. b) Transfer official copies to county Register of Deeds. c) Records and indexes that have been transcribed or otherwise duplicated may be destroyed in office upon State Archives approval.	Authority: G.S. § 130A, Article 4
5.	 DELAYED BIRTH APPLICATION RECORDS Applications and other records submitted as evidence in support of a delayed registration of birth. Copies are filed with NC DHHS, Division of Public Health, Vital Records. <i>Note: County Register of Deeds Office may keep official record.</i> See also BIRTHS AND INDEX , page 51, item 2.	a) Destroy in office after 1 year applications and supporting documentation for a non-completed registration. b) Destroy in office after 1 year applications and supporting documentation for a completed registration (certificate was approved).	Authority: G.S. § 130A, Article 4 Confidentiality: G.S. § 130A-93(b)

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page viii.

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¹ See **NC DHHS RECORDS SCHEDULE FOR GRANTS**, page xi; it is published semiannually by the DHHS Office of the Controller.

ITEM #	STANDARD 24: VITAL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6. 	DELAYED BIRTHS AND INDEX Official copies of certificates registering the birth of a person born in this state, but not registered within one year after birth. Original records are filed with NC DHHS, Division of Public Health, Vital Records. <i>Note: County Register of Deeds Office may keep official record.</i> See also BIRTHS AND INDEX , page 51, item 2.	a) Transfer original delayed certificates of birth to North Carolina Vital Records. b) Transfer official copies to county Register of Deeds. c) Records and indexes that have been transcribed or otherwise duplicated may be destroyed in office upon State Archives approval.	Authority: G.S. § 130A, Article 4 10A NCAC 41H .0403-.0406 10A NCAC 46 .0215 Confidentiality: G.S. § 130A-93(b)
7.	DISINTERMENT/REINTERMENT PERMITS	Transfer permits after 5 years for permanent retention to: Records Description Unit Government Records Section NC Department of Natural and Cultural Resources 4615 Mail Service Center Raleigh, NC 27699-4615	Authority: 10A NCAC 41H .0505
8.	NOTIFICATION OF DEATH See also DEATHS AND INDEX , page 52, item 4.	Destroy in office 1 year after death certificate is filed.	Authority: G.S. § 130A-112
9.	VITAL RECORD AMENDMENTS Records submitted as evidence to amend, correct, or replace a birth or death certificate issued by North Carolina Vital Records. Original records are filed with NC DHHS, Division of Public Health, Vital Records.	a) Destroy in office 1 year after amendment and/or correction was approved, or after request was denied or withdrawn. b) Return to North Carolina Vital Records copies of certificates involving adoptions, legitimations, or other registrants when a new certificate is received.	Authority: G.S. § 130A, Article 4 10A NCAC 41H .0900

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ITEM #	STANDARD 24: VITAL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
10.	VITAL RECORD APPLICATIONS FOR CERTIFIED COPIES Application forms completed by persons seeking certified copies of birth, death, or marriage certificates.	a) Destroy in office 1 year from date of request if copies are issued and/or received by requestor. b) Destroy in office 3 years from date of request if copies are not issued and/or received by requestor.	Authority: G.S. § 130A, Article 4
11.	VITAL RECORDS PROGRAM EDUCATIONAL RECORDS Records documenting vital records education services administered by local health department for local registration personnel, hospital administrators, and their medical records personnel, funeral directors, medical examiners, and others involved in the registration system.	a) Retain records with historical value permanently. b) Destroy in office remaining records when reference value ends. [†] Agency Policy: Destroy in office after _____	

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page viii.

[†] See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.

¹ See **NC DHHS RECORDS SCHEDULE FOR GRANTS**, page xi; it is published semiannually by the DHHS Office of the Controller.

STANDARD 25: PROGRAM OPERATIONAL RECORDS – WOMEN, INFANTS, AND CHILDREN (WIC) RECORDS

Public health records created or received in local health departments and used to manage and monitor the Special Supplemental Nutrition Program for Women, Infants, and Children (WIC) funded by the U.S. Department of Agriculture. These are not individual patient clinical records (see **PATIENT CLINICAL RECORDS**, page 36, item 5). Comply with applicable provisions of G.S. § 130A-12 and G.S. § 130A-45.8 regarding confidentiality of local health department records that contain privileged patient medical information, information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act, or HIPAA), or information collected for prevention and control of lead poisoning in children in accordance with G.S. § 130A, Article 5, Part 4. The Crossroads WIC System is considered the system of record, so reports produced out of it are reference copies; see Local Government General Records Schedule, Standard 1, Reference (Reading) File.

ITEM #	STANDARD 25: WOMEN, INFANTS, AND CHILDREN (WIC) RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	VOTER REGISTRATION RECORDS Voter registration preference forms, NC voter registration applications, and agency transmittal forms.	a) Transmit original records to county board of elections within 5 business days of obtaining registration preference form. b) Destroy in office copies of voter registration preference forms and agency transmittal forms after 4 years.	Authority: 52 U.S.C. § 20506
2.	 WIC CROSSROADS RECORDS Records documenting the administration of local WIC programs. File includes administrative, operational, financial, participant, self-assessment, and state monitoring records. Records created and maintained in NC DHHS, Division of Public Health North Carolina (NC) Crossroads WIC System.	All documentation uploaded into the NC DHHS, Division of Public Health, Crossroads WIC System can be destroyed in office after quality control procedures have been completed.	Authority: 7 CFR 246.25 Confidentiality: 7 CFR 246.26

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page viii.

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ITEM #	STANDARD 25: WOMEN, INFANTS, AND CHILDREN (WIC) RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3. 	WIC LOCAL RECORDS Records concerning the WIC program that are maintained in office and not uploaded into the Crossroads WIC System. File includes any locally-required documentation such as participant waivers. File also includes vendor applications, monitoring reports, training verification, etc. necessary for administrative reviews.	Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. ¹	Authority: 7 CFR 246.25 Confidentiality: 7 CFR 246.26

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page viii.

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DESTRUCTION OF PUBLIC RECORDS

Q. When can I destroy records?

- A.** Each records series listed on this schedule has specific disposition instructions that indicate how long the series must be kept in your office. In some cases, the disposition instructions are “Retain in office permanently,” which means that those records must be kept in your offices forever.
-

Q. How do I destroy records?

- A.** After your agency has approved this records retention and disposition schedule, records should be destroyed in one of the following ways:
- 1) burned, unless prohibited by local ordinance;
 - 2) shredded, or torn so as to destroy the record content of the documents or material concerned;
 - 3) placed in acid vats so as to reduce the paper to pulp and to terminate the existence of the documents or materials concerned;
 - 4) sold as waste paper, provided that the purchaser agrees in writing that the documents or materials concerned will not be resold without pulverizing or shredding the documents so that the information contained within cannot be practicably read or reconstructed.

The provision that electronic records are to be destroyed means that the data, metadata, and physical media are to be overwritten, deleted, and unlinked so that the data and metadata may not be practicably reconstructed.

The data, metadata, and physical media containing confidential records of any format are to be destroyed in such a manner that the information cannot be read or reconstructed under any means.

— N.C. Administrative Code, Title 7, Chapter 4, Subchapter M, Section .0510

Without your agency’s approval of this records schedule, no records may legally be destroyed.

Q. How can I destroy records if they are not listed on this schedule?

- A.** Contact a Records Management Analyst. An analyst will discuss the nature of the records with you to determine if the records have historical value. If the records do have historical value, we will discuss the possibility of transferring the records to the State Archives of North Carolina to be preserved permanently.

If the records do not have historical value, we will ask you to complete a Request for Disposal of Unscheduled Records (page 66) if the records are no longer being created. If the records are an active records series, an analyst will help you develop an amendment to this schedule so that you can destroy the records appropriately from this point forward.

Q. Am I required to tell anyone about the destructions?

- A.** We recommend that you report on your records retention activities to your governing board on an annual basis. This report does not need to be detailed, but it is important that significant destructions be entered into the minutes of the Board. See a sample destructions log that follows (and is available online at the State Archives of North Carolina website, <https://archives.ncdcr.gov/government/forms-government>).



Destructions Log

Agency					
Division		Section		Branch	
Location(s) of Records					

[illegible]

ELECTRONIC RECORDS: E-MAIL, BORN-DIGITAL RECORDS, AND DIGITAL IMAGING

Q. When can I delete my e-mail?

- A.** E-mail is a public record as defined by G.S. § 121-5 and G.S. § 132. Electronic mail is as much a record as any paper record and must be treated in the same manner. **It is the content of each message that is important.** If a particular message would have been filed as a paper memo, it should still be filed (either in your e-mail program or in your regular directory structure), and it should be retained the same length of time as its paper counterparts. **It is inappropriate to destroy e-mail simply because storage limits have been reached.** Some examples of e-mail messages that are public records and therefore covered by this policy include:

- Policies or directives;
- Final drafts of reports and recommendations;
- Correspondence and memoranda related to official business;
- Work schedules and assignments;
- Meeting agendas or minutes
- Any document or message that initiates, facilitates, authorizes, or completes a business transaction; and
- Messages that create a precedent, such as issuing instructions and advice.

*From the Department of Cultural Resources E-Mail Policy (Revised July 2009),
available at the State Archives of North Carolina website*

Other publications (available online at the [State Archives of North Carolina website](http://www.southcarolina.gov)) that will be particularly helpful in managing your e-mail include tutorials on managing e-mail as a public record and on using Microsoft Exchange.

Q. May I print my e-mail to file it?

- A.** We do not recommend printing e-mail for preservation purposes. Important metadata are lost when e-mail is printed.

Q. I use my personal e-mail account for work. No one can see my personal e-mail, right?

- A.** The best practice is to avoid using personal resources, including private e-mail accounts, for public business. G.S. § 132-1 states that records “made or received pursuant to law or ordinance *in connection with the transaction of public business* by any agency of North Carolina government or its subdivisions” are public records (emphasis added). The fact that public records reside in a personal e-mail account is irrelevant.

Q. We have an imaging system. Are we required to keep the paper?

- A.** You may scan any record, but you will need to receive approval from the Government Records Section in order to destroy paper originals that have been digitized. Your agency must develop an electronic records policy and then submit a Request for Disposal of Original Records Duplicated by Electronic Means. You can find these templates in the Digital Imaging section of the State Archives of North Carolina website (<https://archives.ncdcr.gov/government/digital-records/digital-records-policies-and-guidelines#digital-imaging>). Contact a Records Management Analyst for further instructions on how to develop a compliant electronic records policy.

Permanent records must have a security preservation copy as defined by State Archives of North Carolina’s **Human-Readable Preservation Duplicate Policy** (G.S. § 132-8.2):

Preservation duplicates shall be durable, accurate, complete and clear, and such duplicates made by a photographic, photo static, microfilm, micro card, miniature photographic, or other process which accurately reproduces and forms a durable medium for so reproducing the original shall have the same force and effect for all purposes as the original record whether the original record is in existence or not. ... Such preservation duplicates shall be preserved in the place and manner of safekeeping prescribed by the Department of Natural and Cultural Resources.

The preservation duplicate of permanent records must be either on paper or microfilm.

Non-permanent records may be retained in any format. You will need to take precautions with electronic records that you must keep more than about 5 years. Computer systems do not have long life cycles. Each time you change computer systems, you must convert all records to the new system so that you can assure their preservation and provide access.

Q. Computer storage is cheap. Can I just keep my computer records permanently?

- A.** The best practice is to destroy all records that have met their retention requirements, regardless of format.

Q. What are the guidelines regarding the creation and handling of electronic public records?

- A.** There are numerous documents available on the State Archives of North Carolina website (<https://archives.ncdcr.gov/government/digital-records/digital-records-policies-and-guidelines>). Topics covered include shared storage, cloud computing, e-discovery, trustworthy digital public records, digital signatures, e-mail, social media, text messages, websites, digital imaging, metadata, file formats, database indexing, and security backups.

Note that e-mail, text messages, and social media should be handled according to their content. Therefore, this schedule does not include a records series that instructs you on how to handle one of these born-digital records by format; instead of focusing on how the information is disseminated, consider what content is contained in the e-mail, text message, or social media post. For instance, an e-mail requesting leave that is sent to a supervisor should be kept for 1 year (see Local Government Agencies General Records Schedule, Standard 6: Leave Records).

MICROFILM

Q. Why do you still use microfilm?

- A.** Microfilm is a legally acceptable replacement for original records, as outlined in G.S. § 8-45.1 and § 153A-436. Microfilm can be read with nothing more sophisticated than a magnifying glass, and there is no software to keep current. Usually, deterioration in the film itself can be detected by visual inspection. The State Archives of North Carolina provides a publication, *Micrographics: Technical and Legal Procedures*, on our website. It explains the four groups of national standards for the production of archival quality microfilm:

- manufacture of raw film
- filming methods
- processing (developing) film
- storage methods

That publication also provides sample forms, targets, and procedures that you or your vendor can use in producing film of your records.

Q. What film services do you provide?

- A.** The Department of Natural and Cultural Resources provides microfilming services for minutes of major decision-making boards and commissions. We will also film records of adoptions for Social Services agencies. Once those records are filmed, we will store the silver negative (original) in our security vault. Contact the Records Management Analyst in charge of microfilm coordination for the most current information.

Q. How do I get my minutes filmed?

- A.** We have two processes to film minutes. First, you can send photocopies of your approved minutes to us in the mail. Simply include a copy of the **Certification of the Preparation of Minutes for Microfilming** form (available online at the [State Archives of North Carolina website](#)) with each shipment. For more detailed instructions, contact a Records Management Analyst.

Alternately, you can bring us your original books. We will film them and return them to you. This process is most useful when you have more minutes to film than you are willing to photocopy. It is important to remember that a representative of your office or ours must transport the original books in person so that the custody of the records is maintained. You should not mail or ship your original minutes. Call a Records Management Analyst to make arrangements for an appointment for your books to be filmed. We will make every effort to expedite the filming so that your books will be returned to you as quickly as possible.

Q. What if I need my books while they are being filmed?

- A.** Call the Raleigh Office at (919) 814-6900, and ask for the Records Management Analyst in charge of microfilm coordination.

Q. Can I send you my minutes electronically?

- A.** We are working on standards and procedures for an electronic transfer system for minutes. Please contact the Records Management Analyst in charge of microfilm coordination for more information.

Q. I have some old minutes that are not signed. Can they still be filmed?

- A.** If the only copy you have available is unsigned, and you use it as the official copy, we will film it.

Q. What if my books are destroyed after they have been filmed?

- A.** Call a Records Management Analyst who will help you make arrangements to purchase copies of the microfilm from our office. You can then send those reels to a vendor who can either make new printed books or scan the film to create a digital copy.

DISASTER ASSISTANCE

Q. What should I do in case of fire or flood?

- A.** Secure the area, and keep everyone out until fire or other safety professionals allow entry. Then, call our Raleigh office at (919) 814-6903 for the Head of the Government Records Section or (919) 814-6849 for the Head of the Collections Management Branch. If you're in the western part of the state, call our Asheville Office at (828) 296-7230 extension 224. On nights and weekends, call your local emergency management office.

DO NOT ATTEMPT TO MOVE OR CLEAN ANY RECORDS.

Damaged records are extremely fragile and require careful handling. Our staff are trained in preliminary recovery techniques, documenting damage to your records, and authorizing destruction of damaged records. Professional vendors can handle larger disasters.

Q. What help do you give in case of an emergency?

- A.** We will do everything we can to visit you at the earliest opportunity in order to provide hands-on assistance. We can assist you in appraising the records that have been damaged so that precious resources (and especially time) are not spent on records with lesser value. We can provide lists of professional recovery vendors that you can contact to preserve your essential and permanent records.

Q. What can I do to prepare for an emergency?

- A.** We provide training on disaster preparation that includes a discussion of the roles of proper inventories, staff training, and advance contracts with recovery vendors. If you would like to have this workshop presented, call a Records Management Analyst.

Q. What are essential records?

- A.** Essential records are records that are necessary for continuity of operations in the event of a disaster. There are two common categories of records that are considered essential:
- **Emergency operating records** – including emergency plans and directives, orders of succession, delegations of authority, staffing assignments, selected program records needed to continue the most critical agency operations, as well as related policy or procedural records.
 - **Legal and financial rights records** – these protect the legal and financial rights of the Government and of the individuals directly affected by its activities. Examples include accounts receivable records, Social Security records, payroll records, retirement records, and insurance records. These records were formerly defined as "rights-and-interests" records.

Essential records should be stored in safe, secure locations as well as duplicated and stored off-site, if possible.

STAFF TRAINING

Q. What types of workshops or training do you offer?

A. We have a group of prepared workshops that we can offer at any time at various locations throughout the state. Contact a Records Management Analyst if you are interested in having one of the workshops presented to your agency. We will work with you directly to develop training suited to your specific needs. Our basic workshops are:

- Managing public records in North Carolina
- Scanning/digital imaging
- Disaster preparedness and recovery
- Confidentiality
- Organizing paper and digital files
- E-mail
- Digital communications

Q. Will you design a workshop especially for our office?

A. Yes, we will. Let a Records Management Analyst know what type of training you need.

Q. Are workshops offered only in Raleigh?

A. No, we will come to your offices to present the workshops you need. We have no minimum audience requirement. We will also do presentations for professional associations, regional consortiums, and the public.

Q. Is there a fee for workshops?

A. Not at this time.

Q. Are the workshops available in an online format?

A. Not at this time. However, there are several online tutorials available on the State Archives of North Carolina website, including managing public records, electronic records, and scanning.



Request for Change in Local Government Records Schedule

Use this form to request a change in the records retention and disposition schedule governing the records of your agency. Submit the signed original and keep a copy for your file. A proposed amendment will be prepared and submitted to the appropriate state and local officials for their approval and signature. Copies of the signed amendment will be sent to you for insertion in your copy of the schedule.

AGENCY INFORMATION

Requestor name

Location and Agency [e.g., County/Municipality + Department of Social Services]

Phone and email

Mailing Address

CHANGE REQUESTED

Specify title and edition of records retention schedule being used: _____

☐ Add a new item

☐ Delete an existing item

Standard Number _____ Page _____ Item Number _

☐ Change a retention period

Standard Number _____ Page _____ Item Number _

Title of Records Series in Schedule or Proposed Title:

Inclusive Dates of Records:

Proposed Retention Period:

Description of Records:

Justification for Change:

Requested by:

Signature

Title

Date

Approved by:

Signature

Requestor's Supervisor

Date



Request for Disposal of Unscheduled Records

AGENCY INFORMATION

Requestor name

Location and Agency [e.g., County/Municipality + Department of Social Services]

Phone and email

Mailing Address

In accordance with the provisions of G.S. § 121 and § 132, approval is requested for the destruction of records listed below. These records have no further use or value for official administrative, fiscal, historical, or legal purposes.

RECORDS TITLE AND DESCRIPTION	INCLUSIVE DATES	QUANTITY	RELEVANT STATUTORY REGULATIONS	PROPOSED RETENTION PERIOD

Requested by:

Signature

Title

Date

Approved by:

Signature

Requestor's Supervisor

Date

Concurred by:

Signature

Assistant Records Administrator
State Archives of North Carolina

Date



Request for Disposal of Original Records Duplicated by Electronic Means

If you have questions, call (919) 814-6900 and ask for a Records Management Analyst.

This form is used to request approval from the Department of Natural and Cultural Resources to dispose of non-permanent paper records that have been scanned, entered into databases, or otherwise duplicated through digital imaging or other conversion to a digital environment. This form does not apply to records that have been microfilmed or photocopied or to records with a permanent retention.

Agency Contact Name:		Date (MM-DD-YYYY):
Phone (area code):	Email:	
County/Municipality:	Office:	
Mailing address:		

Records Series Title A group of records as listed in records retention schedule	Description of Records Specific records as referred to in-office	Inclusive Dates (1987-1989; 2005-present)	Approx. Volume of Records (e.g. "1 file cabinet," "5 boxes")	Retention Period As listed in records retention schedule

Requested by:

Signature

Title

Date

Approved by:

Signature

Requestor's Supervisor

Date

Concurred by:

Signature

Assistant Records Administrator
State Archives of North Carolina

Date



File Plan

Agency					
Division		Section		Branch	

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INDEX

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ACCOUNTS RECEIVABLE
 CLINICAL SERVICES, 13
ACTIVITY REPORTS (ANIMAL CONTROL PROGRAMS), 10
ADJUSTED PATIENT ACCOUNTS, 13
ADMINISTRATIVE FACILITY INFORMATION (CHILD HEALTH PROGRAM), 32
ADULT DAY CARE AND ADULT DAY HEALTH PROGRAM MONITORING RECORDS, 1
ADULT HEALTH PROGRAM RECORDS, 2
ADVERSE DRUG REACTION REPORTS, 39
AGREEMENT ADDENDA. *SEE* CONSOLIDATED AGREEMENT
ANIMAL ABUSE AND CRUELTY CASES, 10
ANIMAL ADOPTION RECORDS, 10
ANIMAL BITE REPORTS, 10
ANIMAL COMPLAINTS, 10
ANIMAL CONTROL CITATIONS AND COMPLIANCE ORDERS, 11
ANIMAL CRUELTY RECORDS. *SEE* ANIMAL ABUSE AND CRUELTY CASES
ANIMAL LICENSE RECORDS, 11
ANNUAL EVALUATIONS (HOME HEALTH AND COMMUNITY-BASED SERVICES). *SEE* QUALITY ASSURANCE RECORDS (ALL HEALTH DEPARTMENT PROGRAMS)
AUDITS, CLINICAL RECORD, 4

B

BAD DEBT REPORTS. *SEE* ACCOUNTS RECEIVABLE: CLINICAL SERVICES
BEHAVIORAL HEALTH PROGRAM POLICY AND PROCEDURE RECORDS, 48
BEHAVIORAL HEALTH SERVICES RECORDS (STUDENTS), 48
BEHAVIORAL REFERRAL RECORDS, 48
BIANNUAL INVENTORY OF CONTROLLED SUBSTANCES FILE. *SEE* CONTROLLED SUBSTANCES RECORDS
BIRTH AND DEATH RECORDS, 51
BIRTHS AND INDEX, 51
BREAST AND CERVICAL CANCER CONTROL PROGRAM (BCCCP) AND NC WISEWOMAN RECORDS, 2
BURIAL TRANSIT PERMITS, 52

C

CARE COORDINATION FOR CHILDREN (CC4C) PROGRAM RECORDS, 32
CASE CONFERENCE NOTES. *SEE* HOME HEALTH PROGRAM RECORDS
CERTIFICATES OF ANIMAL RELEASE, 11
CHILD CARE HEALTH CONSULTANT RECORDS (CHILD HEALTH PROGRAM), 33
CHILD FATALITY PREVENTION TEAM REVIEWS, 33
CHILD SERVICE COORDINATION (CSC) PROGRAM ID AND REFERRALS. *SEE* CARE COORDINATION FOR CHILDREN (CC4C) PROGRAM RECORDS
CHILD SERVICE COORDINATION (CSC) PROGRAM STATUS FILE. *SEE* CARE COORDINATION FOR CHILDREN (CC4C) PROGRAM RECORDS
CHILDREN WITH SPECIAL HEALTH CARE NEEDS SERVICES RECORDS, 33
CHILDREN'S SPECIAL HEALTH SERVICES STATISTICAL REPORTS. *SEE* STATISTICAL REPORTS (ALL HEALTH DEPARTMENT PROGRAMS)
CHILDREN'S SPECIAL HEALTH SERVICES RECORDS. *SEE* CHILDREN WITH SPECIAL HEALTH CARE NEEDS SERVICES RECORDS
CHRONIC DISEASE DETECTION PROGRAM RECORDS. *SEE* CHRONIC DISEASE PROGRAM RECORDS
CHRONIC DISEASE PROGRAM RECORDS, 3
CHRONIC DISEASE SERVICES REPORTS. *SEE* CHRONIC DISEASE PROGRAM RECORDS
CLIENT APPOINTMENT AND SCHEDULING RECORDS, 48
CLINICAL POLICIES AND PROCEDURES, 4
CLINICAL RECORD AUDITS, 4
COMMUNICABLE DISEASE (CD) REPORT CARDS. *SEE* COMMUNICABLE DISEASE REPORTS
COMMUNICABLE DISEASE OUTBREAK INVESTIGATION RECORDS, 17
COMMUNICABLE DISEASE REPORTS, 18
COMMUNICABLE DISEASE SURVEILLANCE FORMS/CASE REPORTS. *SEE* COMMUNICABLE DISEASE REPORTS
COMMUNITY ALTERNATIVES PROGRAM FOR CHILDREN (CAP/C) CASE RECORDS, 26
COMMUNITY ALTERNATIVES PROGRAM FOR DISABLED ADULTS (CAP/DA) CASE RECORDS, 26
COMMUNITY HEALTH ASSESSMENTS, 4
CONSOLIDATED AGREEMENT, 14
CONTACT NOTICE LOG. *SEE* OWNER CONTACT NOTICE RECORDS

CONTROLLED SUBSTANCE EUTHANASIA LOG, 11
CONTROLLED SUBSTANCES RECORDS, 39
COPIES OF MEDICAL RECORDS. *SEE* PATIENT SELF-
HISTORIES AND RECEIVED MEDICAL RECORDS
COST REPORTS, 14

D

DANGEROUS ANIMALS RECORDS, 11
DEATHS AND INDEX, 52
DEBT SETOFF PROGRAM RECORDS, 14
DELAYED BIRTH APPLICATION RECORDS, 52
DELAYED BIRTHS AND INDEX, 53
DENTAL PATIENT RECORDS, 35
DESTRUCTIONS LOG, 58
DISINTERMENT/REINTERMENT PERMITS, 53
DRUG DESTRUCTION RECORDS. *SEE* DRUG DISPOSAL
RECORDS
DRUG DISPOSAL RECORDS, 40
DRUG INVENTORIES, 40

E

ELECTRONIC HEALTH RECORDS (EHRS). *SEE* PATIENT
CLINICAL RECORDS
ELECTRONIC MEDICAL RECORDS (EMRS). *SEE*
PATIENT CLINICAL RECORDS
ELECTRONIC PROTECTED HEALTH INFORMATION
(EPHI) SECURITY IMPLEMENTATION RECORDS, 5
ELECTRONIC SUPERBILLS. *SEE* SUPERBILLS
ELIGIBILITY DETERMINATION RECORDS, 14
ENCOUNTER FORMS, 5
ENVIRONMENTAL HEALTH PERMITS, 19
EPIDEMIOLOGY OUTBREAK INVESTIGATION
RECORDS. *SEE* COMMUNICABLE DISEASE
OUTBREAK INVESTIGATION RECORDS
EQUIPMENT AND INSTRUMENT MAINTENANCE AND
REPAIR FILE (LABORATORY), 28
ESBS. *SEE* SUPERBILLS

F

FAMILY PLANNING RECORDS, 3
FEE PLANS. *SEE* FEE SCHEDULES
FEE SCHEDULES, 5
FILE PLAN, 68
FOLLOW-UP REPORT FOR CHRONIC DISEASE
SERVICES. *SEE* CHRONIC DISEASE PROGRAM
RECORDS
FOOD AND LODGING INSPECTION RECORDS. *SEE*
FOOD, LODGING, INSTITUTIONAL, SANITATION,
AND PUBLIC SWIMMING POOLS AND SPAS
INSPECTION RECORDS

FOOD AND LODGING MAPS, PLANS, AND
BLUEPRINTS, 19
FOOD AND LODGING PERMIT ACTIONS, 19
FOOD INSTRUMENT (WFI) REPORTS (WIC). *SEE* WIC
LOCAL RECORDS
FOOD, LODGING, INSTITUTIONAL SANITATION, AND
PUBLIC SWIMMING POOLS AND SPAS INSPECTION
RECORDS, 20

H

HEALTH EDUCATION RECORDS, 24
HEALTH PROMOTION TRAINING RECORDS, 24
HIPAA SECURITY IMPLEMENTATION RECORDS. *SEE*
ELECTRONIC PROTECTED HEALTH INFORMATION
(EPHI) SECURITY IMPLEMENTATION RECORDS
HISTORIES OF PET OWNERS, 11
HIV/AIDS (CLINICAL) RECORDS. *SEE* SEXUALLY
TRANSMITTED DISEASES (STD)/SEXUALLY
TRANSMITTED INFECTIONS (STI) (CLINICAL)
RECORDS
HIV/AIDS COUNSELING AND TESTING QUARTERLY
REPORTS. *SEE* SEXUALLY TRANSMITTED DISEASE
(STD)/SEXUALLY TRANSMITTED INFECTION (STI)
COUNSELING AND TESTING QUARTERLY REPORTS
HIV/AIDS EDUCATION REPORTS. *SEE* SEXUALLY
TRANSMITTED DISEASE (STD)/SEXUALLY
TRANSMITTED INFECTION (STI) EDUCATION
REPORTS
HOME HEALTH ADVISORY COMMITTEE MINUTES, 27
HOME HEALTH PROGRAM RECORDS, 27

I

IMMUNIZATION CONSENT FORMS, 36
IMMUNIZATION RECORDS, 36
IMMUNOHEMATOLOGY TEST REPORTS. *SEE* TEST
REPORTS (LABORATORY)
IMPOUNDMENT RECORDS. *SEE* SHELTER
DISPOSITION RECORDS
INSPECTION SUMMARIES (ENVIRONMENTAL
HEALTH), 20
INSURANCE CLAIMS, 15
INSURANCE FOR THE AGED CERTIFICATION, 27
INSURANCE PENDING REPORTS, 15
INTRAVENOUS HOOD PERFORMANCE REPORTS, 40

L

LABORATORY HIV TEST RECORDS, 28
LABORATORY PROCEDURES MANUAL, 28
LABORATORY PROFICIENCY TESTING RESULTS. *SEE*
PROFICIENCY TESTING RECORDS (LABORATORY)

LABORATORY REPORTS (ENVIRONMENTAL HEALTH),
20
LEAD POISONING PREVENTION RECORDS, 20
LEGEND, XI

M

MAMMOGRAMS, 36
MATERNAL AND CHILD HEALTH RECORDS, 34
MATERNAL HEALTH CLINICAL RECORDS. *SEE* PATIENT
CLINICAL RECORDS
MEDIA AND PUBLIC HEALTH INFORMATION, 25
MEDICAL EXAMINER RECORDS, 29
MEDICARE DISBURSEMENT REPORTS, 15
MEDICARE PART D PRESCRIPTION DRUG FINANCIAL
RECORDS, 15
MEDICARE PART D PRESCRIPTION DRUG PROGRAM
RECORDS, 41
MEDICATION ERRORS, 40
MEDICATION STORAGE INSPECTION REPORTS, 41
METHAMPHETAMINE LABS DECONTAMINATION
RECORDS, 21

N

NC DHHS RECORDS SCHEDULE FOR GRANTS, XI
NC STATE LICENSURE CERTIFICATE (HOME HEALTH
AND COMMUNITY-BASED SERVICES), 27
NOTIFICATION OF DEATH, 53

O

OWNER CONTACT NOTICE RECORDS, 12

P

PATHOLOGY TEST REPORTS. *SEE* TEST REPORTS
(LABORATORY)
PATIENT APPOINTMENT AND SCHEDULING
RECORDS, 5
PATIENT CLINICAL RECORDS, 36
PATIENT DEMOGRAPHIC DATA REPORTS, 5
PATIENT MEDICATION PROFILES, 41
PATIENT REFUND RECORDS, 16
PATIENT SELF-HISTORIES AND RECEIVED MEDICAL
RECORDS, 6
PAYMENT VOUCHERS. *SEE* ACCOUNTS RECEIVABLE:
CLINICAL SERVICES
PERINATAL HEPATITIS B PREVENTION REPORT PART
I, 37
PERINATAL HEPATITIS B PREVENTION REPORT PART
II, 37

PHARMACEUTICAL PATIENT COUNSELING AND
ASSESSMENT RECORDS, 42
PHARMACY AUDIT RECORDS, 42
PHARMACY LICENSES AND PERMITS, 42
PRESCRIPTION DISPENSING AND FILLING RECORDS,
42
PRESCRIPTION ORDERS, 43
PROFICIENCY TESTING RECORDS (LABORATORY), 29
PROGRAM TIME AND ACTIVITY REPORTS, 6
PROTECTED HEALTH INFORMATION (PHI) ACCESS
RECORDS, 6
PROTECTED HEALTH INFORMATION (PHI)
AMENDMENT REQUEST RECORDS, 6
PROTECTED HEALTH INFORMATION (PHI)
DISCLOSURE RECORDS, 7
PROTECTED HEALTH INFORMATION (PHI) PRIVACY
PRACTICES RECORDS, 7
PROTECTED HEALTH INFORMATION (PHI) PRIVACY
PRACTICES VIOLATION RECORDS, 7
PUBLIC HEALTH EMERGENCY PREPAREDNESS AND
RESPONSE RECORDS, 7
PUBLIC HEALTH PROBLEM SURVEILLANCE RECORDS,
8

Q

QUALITY ASSURANCE PROGRAM RECORDS
(PHARMACY), 43
QUALITY ASSURANCE RECORDS (ALL HEALTH
DEPARTMENT PROGRAMS), 8
QUALITY ASSURANCE RECORDS (LABORATORY). *SEE*
QUALITY ASSURANCE RECORDS (ALL HEALTH
DEPARTMENT PROGRAMS)
QUALITY ASSURANCE/ASSESSMENT TOOLS
(MATERNAL AND CHILD HEALTH). *SEE* QUALITY
ASSURANCE RECORDS (ALL HEALTH DEPARTMENT
PROGRAMS)
QUALITY CONTROL RECORDS (LABORATORY), 30
QUALITY CONTROL RECORDS (RADIOLOGY), 44

R

RABIES VACCINATION CERTIFICATE CARD FILE. *SEE*
VACCINATION RECORDS (ANIMAL CONTROL
PROGRAMS)
RADIATION AREA SURVEY RECORDS, 45
RADIATION DOSES ADMINISTERED RECORDS, 45
RADIATION EXPOSURE HISTORY RECORDS, 46
RADIATION PROTECTION PROGRAM RECORDS, 46
RADIOACTIVE MATERIALS RECEIPT AND DISPOSAL
RECORDS, 46
RADIOLOGICAL FILM SIGN-OUT RECORDS, 47

RADIOLOGY DOSES ADMINISTERED FILE. *SEE*
 RADIATION DOSES ADMINISTERED RECORDS
 RADIOLOGY EQUIPMENT REGISTRATION, 47
 RECEIVED MEDICAL RECORDS, 6
 RECORDS OF PRE-PACKAGED DRUGS. *SEE* DRUG
 INVENTORIES
 REFERRALS RECEIVED FROM OTHER AGENCIES. *SEE*
 PATIENT SELF-HISTORIES AND RECEIVED MEDICAL
 RECORDS
 REMITTANCE ADVICE RECORDS. *SEE* ACCOUNTS
 RECEIVABLE: CLINICAL SERVICES
 REQUEST FOR CHANGE IN LOCAL GOVERNMENT
 RECORDS SCHEDULE, 65
 REQUEST FOR DISPOSAL OF ORIGINAL RECORDS
 DUPLICATED BY ELECTRONIC MEANS, 67
 REQUEST FOR DISPOSAL OF UNSCHEDULED
 RECORDS, 66

S

SAMPLE RESPONSE SHEETS (SURVEYS). *SEE*
 SATISFACTION ASSESSMENT SURVEY RESPONSES
 SATISFACTION ASSESSMENT SURVEY RESPONSES), 8
 SCHEDULE II INVOICE AND RECEIVING FILE. *SEE*
 CONTROLLED SUBSTANCES RECORDS
 SCHEDULE II, III, IV, AND V NARCOTICS USAGE FILE.
SEE CONTROLLED SUBSTANCES RECORDS
 SCHOOL HEALTH SCREENING RECORDS, 49, 51
 SCHOOL HEALTH SERVICES REPORTS, 49
 SCREENING AND REFERRAL RECORDS, 8
 SEWAGE DISPOSAL SYSTEM PERMITS. *SEE*
 WASTEWATER DISPERSAL SYSTEM OPERATIONS
 PERMITS
 SEWAGE DISPOSAL SYSTEM SUBDIVISION FILES. *SEE*
 WASTEWATER DISPERSAL SUBDIVISION SYSTEM
 RECORDS
 SEXUALLY TRANSMITTED DISEASE (STD)/SEXUALLY
 TRANSMITTED INFECTION (STI) EDUCATION
 REPORTS, 25
 SEXUALLY TRANSMITTED DISEASES (STD)/SEXUALLY
 TRANSMITTED INFECTIONS (STI) (CLINICAL)
 RECORDS, 37
 SHELTER DISPOSITION RECORDS, 12
 SLIDES, BLOCKS, AND TISSUE, 30
 SOCIAL MEDIA, 60
 STANDING ORDERS, 9
 STATISTICAL REPORTS (ALL HEALTH DEPARTMENT
 PROGRAMS), 9
 STD (CLINICAL) RECORDS, 37
 STD COUNSELING AND TESTING QUARTERLY
 REPORTS, 25
 STD EDUCATION REPORTS, 25
 STERILIZATION RECORDS, 9

STI (CLINICAL) RECORDS, 37
 STI COUNSELING AND TESTING QUARTERLY
 REPORTS, 25
 STI EDUCATION REPORTS, 25
 STUDENT INDIVIDUAL HEALTH/NURSING RECORDS.
SEE SCHOOL NURSE RECORDS
 STUDENT PERMANENT HEALTH RECORDS. *SEE*
 SCHOOL NURSE RECORDS
 SUDDEN INFANT DEATH SYNDROME (SIDS)
 PATHOLOGY REPORTS, 34
 SUMMARY OF INSPECTIONS (ENVIRONMENTAL
 HEALTH). *SEE* INSPECTION SUMMARIES
 SUPERBILLS, 16

T

TEST REPORTS (LABORATORY), 31
 TEST REQUISITIONS (LABORATORY), 31
 TEXT MESSAGES, 60
 TIME REPORTS. *SEE* PROGRAM TIME AND ACTIVITY
 REPORTS
 TRIAGE LOGS. *SEE* ENCOUNTER FORMS
 TUBERCULOSIS (CLINICAL) RECORDS, 38

V

VACCINATION RECORDS (ANIMAL CONTROL
 PROGRAMS), 12
 VACCINE PROGRAM MANAGEMENT RECORDS, 9
 VITAL RECORD AMENDMENTS, 53
 VITAL RECORD APPLICATIONS FOR CERTIFIED
 COPIES, 54
 VITAL RECORD PROGRAM EDUCATIONAL RECORDS,
 54
 VOTER REGISTRATION RECORDS, 55

W

WASTEWATER COLLECTION, TREATMENT, AND
 DISPOSAL REGULATION RECORDS, 21
 WASTEWATER DISPERSAL SUBDIVISION SYSTEM
 RECORDS, 21
 WASTEWATER DISPERSAL SYSTEM APPLICATIONS, 21
 WASTEWATER DISPERSAL SYSTEM CONSTRUCTION
 AUTHORIZATIONS, 22
 WASTEWATER DISPERSAL SYSTEM ENGINEERED
 OPTION PERMITS, 22
 WASTEWATER DISPERSAL SYSTEM IMPROVEMENT
 PERMITS, 22
 WASTEWATER DISPOSAL SYSTEM OPERATIONS
 PERMITS, 22
 WATER SUPPLY ON-SITE SANITATION SERVICES
 RECORDS, 23

WATER SUPPLY REGISTRY – PERMITTED WELLS, 23
WATER SUPPLY WELL OPERATIONS RECORDS, 23
WIC ADMINISTRATIVE AND OPERATIONAL RECORDS.
SEE WIC CROSSROADS RECORDS
WIC CROSSROADS RECORDS, 55
WIC FINANCIAL RECORDS. SEE WIC CROSSROADS
RECORDS
WIC LOCAL RECORDS, 56
WIC PARTICIPANT RECORDS. SEE WIC CROSSROADS
RECORDS

WIC SELF-ASSESSMENT AND STATE MONITORING
RECORDS. SEE WIC CROSSROADS RECORDS
WIC VENDOR RECORDS. SEE WIC LOCAL RECORDS

X

X-RAYS. SEE PATIENT CLINICAL RECORDS

Y

YEARLY DRUG INVENTORY. SEE DRUG INVENTORIES